

MAIL TO:

STATE OF UTAH
 DIVISION OF PURCHASING
 3150 STATE OFFICE BUILDING, STATE CAPITOL
 P.O. BOX 141061
 SALT LAKE CITY, UTAH 84114-1061
 TELEPHONE (801) 538-3026
<http://purchasing.utah.gov>

Request for ProposalSolicitation Number: **JG5013**Due Date: **10/12/04 at 3:00 P.M.**

Date Sent: September 16, 2004

Agency Contract

Goods and services to be
 purchased:

**PROJECT MANAGER FOR CHILD NUTRITION PROGRAM (CNP) DATABASE FOR THE UTAH BOARD
 OF EDUCATION**

Please complete

Company Name		Federal Tax Identification Number	
Ordering Address	City	State	Zip Code
Remittance Address (if different from ordering address)	City	State	Zip Code
Type <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Proprietorship <input type="checkbox"/> Government	Company Contact Person		
Telephone Number (include area code)	Fax Number (include area code)		
Company's Internet Web Address	Email Address		
Discount Terms (for bid purposes, bid discounts less than 30 days will not be considered)	Days Required for Delivery After Receipt of Order (see attached for any required minimums)		
<p>The following documents are included in this solicitation: Solicitation forms, instructions and general provisions, and specifications. <u>Please review all documents carefully before completing.</u></p> <p>The undersigned certifies that the goods or services offered are produced, mined, grown, manufactured, or performed in Utah. Yes ____ No _____. If no, enter where produced, etc. _____</p>			
Offeror's Authorized Representative's Signature		Date	
Type or Print Name		Position or Title	

**STATE OF UTAH
DIVISION OF PURCHASING**

Request for Proposal

Solicitation Number: JG5013

Due Date: 10/12/04

Vendor Name:

PROJECT MANAGER FOR CHILD NUTRITION PROGRAM (CNP) DATABASE PER ATTACHED SPECIFICATIONS.

THIS RFP WILL RESULT IN AN AGENCY CONTRACT FOR 18 MONTHS.

WITH TECHNICAL QUESTIONS OR FOR CLARIFICATION PLEASE CONTACT JANICE CHRISTENSEN AT 801-538-7623.

WITH PURCHASING QUESTIONS OR FOR CLARIFICATION PLEASE CONTACT JARED GARDNER AT 801-538-3342.

REFERENCE RX: 400 52000000008; COMMODITY CODE(S): 91828000000, 91829000000

REQUEST FOR PROPOSAL - INSTRUCTIONS AND GENERAL PROVISIONS

1. PROPOSAL PREPARATION: (a) All prices and notations must be in ink or typewritten. (b) Price each item separately. Unit price shall be shown and a total price shall be entered for each item bid. (c) Unit price will govern, if there is an error in the extension. (d) Delivery time of services and products as proposed is critical and must be adhered to. (e) All products are to be of new, unused condition, unless otherwise requested in this solicitation. (f) Incomplete proposals may be rejected. (g) This proposal may not be withdrawn for a period of 60 days from the due date. (h) Where applicable, all proposals must include complete manufacturer's descriptive literature. (i) By signing the proposal the offeror certifies that all of the information provided is accurate, that they are willing and able to furnish the item(s) specified, and that prices offered are correct.

2. SUBMITTING THE PROPOSAL: (a) The proposal must be signed in ink, sealed, and if mailed, mailed in a properly-addressed envelope to the DIVISION OF PURCHASING, 3150 State Office Building, Capitol Hill, Salt Lake City, UT 84114-1061. **The "Solicitation Number" and "Due Date" must appear on the outside of the envelope.** (b) Proposals, modifications, or corrections received after the closing time on the "Due Date" will be considered late and handled in accordance with the Utah Procurement Rules, section 3-209. (c) **Your proposal will be considered only if it is submitted on the forms provided by the state. Facsimile**

transmission of proposals to DIVISION will not be considered. (d) All prices quoted must be both F.O.B. Origin per paragraph 1.(c) and F.O.B. Destination. Additional charges including but not limited to delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, costs of bonds, or for any other purpose must be included in the proposal for consideration and approval by the Division of Purchasing & General Services (DIVISION). Upon award of the contract, the shipping terms will be F.O.B. Destination, Freight Prepaid with freight charges to be added to the invoice unless otherwise specified by the DIVISION. No charge for delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, costs of bonds, or for any other purpose will be paid by the state unless specifically included in the proposal and accepted by DIVISION. (e) By signing the proposal the offeror certifies that all of the information provided is accurate and that he/she offers to furnish materials/services for purchase in strict accordance with the requirements of this proposal including all terms and conditions.

3. SOLICITATION AMENDMENTS: All changes to this solicitation will be made through written addendum only. Bidders are cautioned not to consider verbal modifications.

4. PROPRIETARY INFORMATION: Suppliers are required to mark any specific information contained in their bid which is not to be disclosed to the public or used for purposes other than the evaluation of the bid. Each request for non-disclosure must be accompanied by a specific justification explaining why the information is to be protected. Pricing and service elements of any proposal will not be considered proprietary. All material becomes the property of the state and may be returned only at the state's option. Proposals submitted may be reviewed and evaluated by any persons at the discretion of the state.

5. BEST AND FINAL OFFERS: Discussions may be conducted with offerors who submit proposals determined to be reasonably susceptible of being selected for award for the purpose of assuring full understanding of, and responsiveness to, solicitation requirements. Prior to award, these offerors may be asked to submit best and final offers. In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by a competing offeror.

6. SAMPLES: Samples, brochures, etc., when required, must be furnished free of expense to the state and if not destroyed by tests may, upon request made at the time the sample is furnished, be returned at the offeror's expense.

7. DIVISION APPROVAL: Contracts written with the State of Utah, as a result of this proposal, will not be legally binding without the written approval of the Director of the DIVISION.

8. AWARD OF CONTRACT: (a) The contract will be awarded with reasonable promptness, by written notice, to the lowest responsible offeror whose proposal is determined to be the most advantageous to the state, taking into consideration price and evaluation factors set forth in the RFP. No other factors or criteria will be used in the evaluation. The contract file shall contain the basis on which the award is made. Refer to Utah Code

Annotated 65-56-21. (b) The DIVISION can reject any and all proposals. And it can waive any informality, or technicality in any proposal received, if the DIVISION believes it would serve the best interests of the state. (c)

Before, or after, the award of a contract the DIVISION has the right to inspect the offeror's premises and all business records to determine the offeror's ability to meet contract requirements. (d) The DIVISION will open proposals publicly, identifying only the names of the offerors. Proposals and modifications shall be time stamped upon receipt and held in a secure place until the due date. After the due date, a **register** of proposals shall be established. The **register** shall be open to public inspection, but the proposals will be seen only by authorized DIVISION staff and those selected by DIVISION to evaluate the proposals. **The proposal(s) of the successful offeror(s) shall be open for public inspection for 90 days after the award of the contract(s).** (e) Utah has a reciprocal preference law which will be applied against bidders bidding products or services produced in states which discriminate against Utah products. For details see Section 63-56 20.5 -20.6, Utah Code Annotated.

9. ANTI-DISCRIMINATION ACT: The offeror agrees to abide by the provisions of the Utah Anti-discrimination Act, Title 34 Chapter 35, U.C.A. 1953, as amended, and Title VI and Title VII of the Civil Rights Act of 1964 (42 USC 2000e), which prohibit discrimination against any employee or applicant for employment, or any applicant or recipient of services, on the basis of race, religion, color, or national origin; and further agrees to abide by Executive Order No. 11246, as amended, which prohibits discrimination on the basis of sex; 45 CFR 90 which prohibits discrimination on the basis of age, and Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act of 1990, which prohibits discrimination on the basis of disabilities. Also offeror agrees to abide by Utah's Executive Order, dated March 17, 1993, which prohibits sexual harassment in the workplace. Vendor must include this provision in every subcontract or purchase order relating to purchases by the State of Utah to insure that the subcontractors and vendors are bound by this provision.

10. WARRANTY: The contractor agrees to warrant and assume responsibility for all products (including hardware, firmware, and/or software products) that it licenses, contracts, or sells to the State of Utah under this contract for a period of one year, unless otherwise specified and mutually agreed upon elsewhere in this contract. The contractor (seller) acknowledges that all warranties granted to the buyer by the Uniform Commercial Code of the State of Utah applies to this contract. Product liability disclaimers and/or warranty disclaimers from the seller are not applicable to this contract unless otherwise specified and mutually agreed upon elsewhere in this contract. In general, the contractor warrants that: (1) the product will do what the salesperson said it would do, (2) the product will live up to all specific claims that the manufacturer makes in their advertisements, (3) the product will be suitable for the ordinary purposes for which such product is used, (4) the product will be suitable for any special purposes that the State has relied on the contractor's skill or judgement to consider when it advised the State about the product, (5) the product has been properly designed and manufactured, and (6) the product is free of significant defects or unusual problems about which the State has not been warned. Remedies available to the State include the following: The contractor will repair or replace (at no charge to the State) the product whose nonconformance is discovered and made known to the contractor in writing. If the repaired and/or replaced product proves to be inadequate, or fails of its essential purpose, the contractor will refund the full amount of any payments that have been made. Nothing in this warranty will be construed to limit any rights or remedies the State of Utah may otherwise have under this contract.

11. DEBARMENT: The CONTRACTOR certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the CONTRACTOR cannot certify this statement, attach a written explanation for review by the STATE.

12. GOVERNING LAWS AND REGULATIONS: All State purchases are subject to the Utah Procurement Code, Title 63, Chapter 56 Utah Code Annotated 1953, as amended, and the Procurement Rules as adopted by the Utah State Procurement Policy Board (Utah Administrative Code Section R33). These are available on the Internet at www.purchasing.utah.gov.

(Revision 14 Mar 2003 - RFP Instructions)

REQUEST FOR PROPOSAL

STATE OFFICE OF EDUCATION CHILD NUTRITION PROGRAMS

PROJECT MANAGEMENT AND CONSULTING SERVICES TO ACQUIRE AND/OR DEVELOP AN INTEGRATED DATA PROCESSING SYSTEM

Solicitation # JG5013

PURPOSE OF REQUEST FOR PROPOSAL (RFP)

The purpose of this request for proposal is to enter into a contract with a qualified firm to provide project management and consulting services to acquire and/or develop an integrated data processing system. The Utah State Office of Education Child Nutrition Programs (CNP) is seeking a qualified consulting partner to conduct project management to gather systems information, recommend and oversee product selection and/or development, with testing and installation and end user training, and system documentation and maintenance. The recommendations are to be based on the results of functional analysis and documented business requirements that have already been conducted. The consultant will work in close cooperation with USOE and CNP Information Technology staff and will provide training and knowledge transfer throughout the project. An onsite project manager is required. It is anticipated that this RFP may result in a contract award to a single contractor.

This RFP is designed to provide interested offerors with sufficient basic information to submit proposals meeting minimum requirements, but is not intended to limit a proposal's content or exclude any relevant or essential data. Offerors are at liberty and are encouraged to expand upon the specifications to evidence service capability under any agreement.

ISSUING OFFICE AND RFP REFERENCE NUMBER

The State of Utah Division of Purchasing is the issuing office for this document and all subsequent addenda relating to it, on behalf of the Utah State Office of Education, Child Nutrition Programs. The reference number for the transaction is Solicitation #JG5013. This number must be referred to on all proposals, correspondence, and documentation relating to the RFP.

SUBMITTING YOUR PROPOSAL

One original and six (6) identical copies of your proposal must be received at the State of Utah Division of Purchasing, 3150 State Office Building, Capitol Hill, Salt Lake City, Utah 84114, prior to the closing date and time specified. Proposals received after the deadline will be late and ineligible for consideration.

LENGTH OF CONTRACT

The Contract resulting from this RFP will be effective from the date of execution, or another agreed upon date, for a period of 12 months, or through conclusion of the project, whichever occurs first.

The contract may be extended beyond the original contract period for up to one (1) additional year at the State's discretion and by mutual agreement.

PRICE GUARANTEE PERIOD

All pricing must be guaranteed for six (6) months. Following the guarantee period, any request for price adjustment must be for an equal guarantee period, and must be made at least 30 days prior to the effective date. Requests for price adjustment must include sufficient documentation supporting the request. Any adjustment or amendment to the contract will not be effective unless approved by the State Director of Purchasing. The State will be given the immediate benefit of any decrease in the market, or allowable discount.

STANDARD CONTRACT TERMS AND CONDITIONS

Any contract resulting from this RFP will include the State's standard terms and conditions.

These may be accessed at:

<http://www.purchasing.utah.gov/contractinfo/TermsAgency.pdf>

QUESTIONS

All questions must be submitted in writing and may be submitted to Lisa Lindgren via email at: llindgre@usoe.k12.ut.us or via fax at: (801) 538-7883. Questions are due by 5:00 p.m. on September 27, 2004. Questions received after that date may not be answered. Answers will be given via an addendum posted on the Division of Purchasing website.

DISCUSSIONS WITH OFFERORS (ORAL PRESENTATION)

An oral presentation by an offeror to clarify a proposal may be required at the sole discretion of the State. However, the State may award a contract based on the initial proposals received without discussion with the Offeror. If oral presentations are required, they will be scheduled after the submission of proposals. Oral presentations will be made at the offeror's expense.

PROPRIETARY INFORMATION

The proposal of the successful offeror(s) becomes public information. Proprietary information can be protected under limited circumstances such as client lists and non-public financial statements. Pricing and service elements are not considered proprietary. An entire proposal may not be marked as proprietary. Offerors must clearly identify in the Executive Summary and mark in the body of the proposal any specific proprietary information they are requesting to be protected. The Executive Summary must contain specific justification explaining why the information is to be protected. Proposals may be reviewed and evaluated by any person at the discretion of the State. All materials

submitted become the property of the State of Utah and may be returned only at the State's option.

DETAILED SCOPE OF WORK

An analysis of the CNP Division's business processes has been conducted to document and detail guidelines that will be used in identifying and implementing an integrated system. The results of the analysis have identified functional and non-functional needs and desires, but CNP may also decide that it would be a more effective approach to modify their business processes to match the functionality available in an existing CNP system rather than modifying the system to match processes. A full, detailed gap-analysis will need to be conducted to determine the modifications to be made to any proposed system or if the development of a system is the most beneficial solution. Therefore, the specific recommendations for customizing an application or a recommendation to develop a system must be provided to identify a "best fit."

The project will be divided into three phases:

1. The investigation of available systems, gap analysis, budget development, investment justification, and a recommendation for procurement of the most compatible system and/or a recommendation for development. Offerors should include a description of the proposed schedule, project control guidelines, resources and management team members, and a communication approach.
2. Selection and procurement of a system; procurement of a vendor to conduct system modification and/or development, and testing. The contractor will be responsible to produce RFP documents and evaluation criteria.
3. Training and pilot activities, implementation of the system, and establishment of system maintenance procedures.

Project management oversight and advisory services must be provided for day-to-day activities of the project. The number of hours (multiplied by the approved hourly rate to produce a total cost) necessary to complete each phase will be negotiated prior to commencement of the activity. Only under egregious circumstances will amendments to the negotiated project phase timeline (and cost) be allowed.

At the conclusion of each phase, an assessment will be conducted jointly by CNP and the contractor to verify and validate the task has been completed adequately and measures have been taken to mitigate identified risks. The contractor and CNP will agree on the adequacy of completion of these tasks. If agreement cannot be reached, mediation will be obtained through the Utah State Office of Education's Division of Computer Services and/or the State Division of Purchasing.

The State will make monthly progress payments to the contractor based on the hours rendered during the month. Invoices shall include a summary of all tasks completed during the billing period. The State will not make advance payment of any kind to the contractor.

PROPOSAL REQUIREMENTS AND COMPANY QUALIFICATIONS

Proposals must contain the following information:

1. The organization and size of the offeror and whether local, regional, national or international in operations.
2. A description of the skills and experience of the proposed project team.
3. Three references from former project management and oversight contracts, including references for the individual proposed as the project manager, outlining previous experience in conducting comparable activities (project management, system acquisition, systems development, systems installation, etc.) References will be contacted for further information.
4. Affirmation that the offeror does not discriminate against any individual because of race, color, national origin, sex, age or disability and that these are not factors in consideration for employment, selection for training, promotion, transfer, recruitment, rates of pay, or other forms of compensation, demotion or separation.
5. Certification regarding debarment, suspension, ineligibility and voluntary exclusion, lower tier covered transactions. (Attachment A)
6. Certification that the offeror will not conduct lobbying activities in matters related to this contract. (Attachment B)
7. A description of the project approach addressing all three phases outlined in the scope of work.

Any proposals not meeting these requirements will be rejected.

PROPOSAL RESPONSE FORMAT

All proposals must be organized and tabbed with labels for the following headings:

1. **RFP Form.** The State's Request for Proposal form completed and signed.
2. **Executive Summary.** The one or two page executive summary is to briefly describe the offeror's proposal. This summary should highlight the major features of the proposal. It must indicate any requirements that cannot be met by the offeror. The reader should be able to determine the essence of the proposal by reading the executive summary. Proprietary information requests should be identified in this section.
3. **Detailed Response.** This section should constitute the major portion of the proposal and must contain at least the following information:
 - A. A complete narrative of the offeror's assessment of the work to be performed, the offeror's ability and approach, and the resources necessary to fulfill the requirements. This should demonstrate the offeror's understanding of the desired overall performance expectations. Clearly indicate any options or alternatives proposed.
 - B. A specific point-by-point response, in the order listed, to each requirement in the RFP.

4. **Cost Proposal.** Cost will be evaluated independently from the technical proposal. Please enumerate all costs on the attached Cost Proposal Form. This is a firm fixed hourly rate contract. Pricing shall be all-inclusive, except for authorized reimbursable expenses. Authorized reimbursable expenses shall be limited to travel, lodging and per diem, which shall be reimbursed at cost and at current rates authorized for Utah State employees. All other costs shall be included in the hourly rates

PROPOSAL EVALUATION CRITERIA

A committee will evaluate proposals against the following weighted criteria. Each area of the evaluation criteria must be addressed in detail in proposal.

<u>WEIGHT</u>	<u>EVALUATION CRITERIA</u>
30 %	Cost, with lowest ranked best
45 %	Demonstrated ability to meet the scope of work, credibility and practicality of procedures to be employed, including thoroughness and appropriateness of response in addressing the scope of work.
25%	Demonstrated technical capability (proven track record), qualification and expertise of staff proposed for this project, performance references for similar projects.

If only one proposal (or no appropriate responses) is received in response to this request, USOE may make recommendation to make the award or to re-solicit for the purpose of obtaining additional proposals.

APPENDICES, EXHIBITS and ATTACHMENTS

Appendix A – Functional Requirements

Appendix B – CNP Use Cases

Appendix C – CNP Reports

Appendix D – Non-Functional Requirements

Appendix E – Future Considerations

Appendix F – RFP Evaluation Score sheet

Exhibit A – High-Level, Logical Database Design

Attachment A – Debarment and Suspension Certification

Attachment B – Certification Regarding Lobbying and Disclosure of Lobbying Activities

Attachment C- Cost Sheet

Appendix A

Functional Requirements

Business Rules

Some of the CNP business rules have been identified in the use cases. Others will be identified when conducting the detailed gap analysis between the proposed system and CNP's requirements, and still others will be identified at implementation time. In addition to implementing the specific rules identified in the use cases, the system must allow additional business rules to be incorporated, and unneeded business rules to be disabled – whether they came with the system or were added later. Where appropriate, business rules should be parameter-driven.

Use Cases

The purpose of the use cases is to identify the functionality that a system must provide in order to meet CNP's business needs. In some cases, optional or low-priority functionality has been included because it is anticipated that it may already be included in an existing system, or because it would be nice to have if the additional cost is not prohibitive. The Use Cases are provided in Appendix B.

The project manager will be asked to specify for each line item in each use case that, for the proposed system, it is: 1) provided in the base system, 2) is not provided, or is partially provided, but could be added to the base system, or 3) is not provided and can not be added to the base system. It is anticipated that before any decisions are made to modify a base system a more complete analysis would be conducted for those specific areas that require development. Decisions would then be made on a case-by-case basis for each development item.

Contents of Use Cases

Primary Actors	Identifies those actors doing the functions in the use case.
Secondary Actors	Identifies those actors that must complete some action before the primary actor can complete their action.
Tertiary Actors	Identifies those actors that must complete some action before a secondary actor can complete their action.
Pre-Conditions	Conditions that must be true before a use case is started.
Assumptions	Those conditions which are assumed to be true before the use case starts.
Constraints	Parameters within which the use case must take place.
Primary Path	The main path of execution, assuming all goes as planned. Note, that in some cases the Primary Path is a collection of disparate activities that have been grouped together because they are similar, not because they take place sequentially.
Alternate/Exception Paths	Other paths that may be taken, either in conjunction with, or in place of parts of the Primary Path.
Event	Steps or functions within a path. Note, that not all events are in order of execution, but rather are related functions that must be supported.
Response	What the system does in response to the actor doing the event.
Alt/Exception Flow	A listing of alternate or exception paths that may be taken. The actual definition of most of these paths is left to the vendor. It is assumed that systems being considered will be complete, including error handling, updates, deletes, etc., and that it is not necessary to define them in detail in the use cases.
Data Points	A listing of the major data points that are addressed in the event being addressed. These lists are not intended to be used as a database definition; rather, they are pieces of data that must not be left out. Where data are federally mandated, it has not been listed; rather, it is expected that systems under consideration will meet all federal data requirements.
Business Rule / Lookups	Listed here are the rules that were either considered very important or out of the ordinary. The rules listed are not meant to be a comprehensive list of business rules that must be supported by the system.

Notes	Miscellaneous notes to the vendor, or directions to aid in the reading of the use cases.
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Reports

Because of CNP's flexibility in the layout of many reports, only titles have been listed for the needed reports. The project manager is asked to submit copies of identified reports for any recommended system/vendor so they can be reviewed for usability by CNP. Specific reports needed are listed in Appendix C, CNP Reports.

APPENDIX B
CNP Integrated System
Use Case Summary List

Revised 9/15/2004

UC No.	Use Case Title	Path	Path Name	Description
1	Investigate Program	Prim	Investigate Program	The process of getting information about a program and signing up for training.
2	Apply to Program	Prim	Apply to Program	The main process of selecting an application, submitting it, and having it approved. The process of completing specific applications are addressed in the alternate paths.
		Alt 1	Complete NSLP Application	Completing an NSLP Application
		Alt 2	Complete Special Milk Application	Completing a Special Milk Application
		Alt 3	Complete CACFP-CACCI Application	Completing a CACFP-CACCI Application
		Alt 4	Complete Summer Food Application	Completing a Summer Food Application
		Alt 5	Complete CACFP-FDCH Application	Completing a CACFP-FDCH Application
		Alt 6	Complete TEFAP Application	Completing a TEFAP Application
3	Pay a Claim	Prim	Pay a Claim	The main process of selecting a claim to complete, submitting it, and having it approved and sent to USOE for payment. The process of completing specific claims are addressed in the alternate paths.
		Alt 1	Enter Claim for National School Lunch	Entering a Claim for National School Lunch
		Alt 2	Enter Claim for Special Milk	Entering a Claim for Special Milk
		Alt 3	Enter Claim for School Breakfast	Entering a Claim for School Breakfast
		Alt 4	Enter Claim for Non-Profit/Public Child (and Adult) Care	Entering a Claim for Non-Profit/Public Child (and Adult) Care
		Alt 5	Enter Claim for For-Profit Child Care Center	Entering a Claim for For-Profit Child Care Center
		Alt 6	Enter Claim for Family Day Care Homes Sponsor	Entering a Claim for Family Day Care Homes Sponsor
		Alt 7	Enter Claim for After School Snack Program	Entering a Claim for After School Snack Program
		Alt 8	Enter Claim for SFSP Waiver	Entering a Claim for SFSP Waiver
4	Review Institution	Prim	Review Institution	The main process of assigning and scheduling a review or audit, and having it approved. The process of recording the results of a specific review or audit is addressed in the alternate paths.
		Alt 1	Enter Summary of Review Results	The process of recording the summarized results of a review. This process applies to all reviews except the CRE, SMI, and the FDCH Provider Drop-In. It also does not apply to audits.
		Alt 2	Enter Results of Audit	Entering the Results of an Audit, including over- or under-claims
		Alt 3	Enter Results of CRE	Entering the Results of a CRE (Coordinated Review Effort)
		Alt 4	Enter Results of SMI Review	Entering Results of SMI Review (School Meals Initiative)
		Alt 5	Enter Results of FDCH Provider Review	Entering Results of FDCH Provider Review (Family Day Care Homes Provider Drop-In)
5	Resolve Corrective Action	Prim	Resolve Corrective Action	The process of identifying actions that need to be taken to remedy some sort of non-compliance. Includes fiscal as well as non-fiscal actions.
6	Resolve Serious Deficiency	Prim	Resolve Serious Deficiency	The process of escalating a corrective action into a serious deficiency.
7	Resolve Appeal	Prim	Resolve Appeal	The process of beginning the appeal process and tracking the milestone events during that process, including the final result.
8	Update Institution Information	Prim 1	Miscellaneous Updates	Details a variety of miscellaneous updates that may be done to an institution's information, including: program withdrawal or termination, changing institution type or federal ID number, collecting "October Survey" information, collecting "Verification Report" information, and collecting "Lunch Participation" information.
		Prim 2	Update Institution Program Information	The main process of updating an institution's application information and having the updates approved by CNP. The process of entering updates for a specific program is addressed in the alternate paths.

APPENDIX B
CNP Integrated System
Use Case Summary List

Revised 9/15/2004

UC No.	Use Case Title	Path	Path Name	Description
		Alt 1	Update NSLP Information	Updating NSLP Application Information
		Alt 2	Update Special Milk Information	Updating Special Milk Application Information
		Alt 3	Update CACFP-CACCI Information	Updating CACFP-CACCI Application Information
		Alt 4	Update Summer Food Information	Updating Summer Food Application Information
		Alt 5	Update CACFP-FDCH Information	Updating CACFP-FDCH Application Information
		Alt 6	Update TEFAP Information	Updating TEFAP Application Information
9	Establish Food Preferences	Prim	Establish Food Preferences	The processes of maintaining the list of available commodities, establishing an institution's yearly allocation amount, and identifying the quantities and timing of the food that each institution would like to receive.
10	Distribute Food	Prim	Distribute Food	The processes of receiving notification of available commodities, gathering orders from participating institutions, and getting the commodities shipped to their final destinations.
11	Produce a Report	Prim	Produce a Report	The process of producing a report that has been predefined and made available within the system. Also includes the capability to schedule a batch of reports to run at a certain time.
12	Produce an Ad-Hoc Report	Prim	Produce an Ad-Hoc Report	The processes of defining an ad-hoc report, producing it, and saving the definition so it can be run again.
13	Maintain CNP Program Information	Prim	Maintain CNP Program Information	The processes of maintaining the lookup tables and parameters that are used to manage the programs. Includes such parameters as percentages, reimbursement rates, contents of drop-down lists, etc.
14	Maintain System Information	Prim	Maintain System Information	The processes of maintaining the information that is used to run the system but that is not program related. Includes user ID's, security groups, and system parameters such as report output destinations and file types.
15	Enter/Exit System	Prim 1	Enter System	The process for logging into the system.
		Prim 2	Exit System	The process for logging out of the system.
16	Create Audit Trail	Prim	Create Audit Trail	The process for creating an audit trail when an "auditable" field has been changed.
17	Maintain Database	Prim 1	Create Data Backup	The process of creating a database backup, including transaction logs that could be used to re-created a day's lost data.
		Prim 2	Restore Data Backup	The process of recovering a database that has gone down and lost data.
		Prim 3	Purge Data	The process of removing data from the system that is no longer needed or required by law to be saved.

CNP Use Case - #1 Investigate Program

Revised 9/15/2004

Use Case Name:		#1 - Investigate Program				
Primary Actors:		Institution Director Web Interface Program Lead				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Review program information and decide whether or not to apply for a Child Nutrition Program. Request required training.				
Pre-Conditions:		None				
Assumptions:		Program information and surveys have been loaded to the Web server. Potential program participants have access to email and the Internet. Potential program participants do not need to be set up in the system in order to investigate a program.				
Constraints:		None				
Primary Path:		Investigate Program				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	Institution Director (I/D) Reviews Web-Based Program Information	System displays the available surveys that help guide the I/D in deciding whether or not to apply for a program.	I/D Phones Program Lead to ask questions I/D Prints Program-Related Documentation			
2	I/D Selects Survey to Determine Preliminary Program Eligibility	System displays the selected eligibility survey	I/D Phones Program Lead to discuss preliminary eligibility questions			
3	I/D Completes Survey to Determine Preliminary Program Eligibility	System evaluates responses and informs the I/D of program eligibility.	System informs I/D that eligibility requirements were not met.	Program Eligibility Indicator Survey contents differ By program		
4	I/D Registers for Training in Scheduled Class	System collects basic institution and contact information. System issues a user ID to the I/D System notifies program lead of requested training	I/D Requests training for a program with no classes scheduled.	Institution Name Institution Type Institution Address Institution Director Name w/ phone, email, fax # of People to register for training Desired training date User ID / Password	Training is required before application can be completed	Control access to application process through a password protected site.
5	I/D Modifies Training Schedule Information	System notifies program lead of schedule change	I/D cancels training request			

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

Use Case Name:		#2 - Apply to Program				
Primary Actors:		Institution Director CNP Database Maintenance Lead Program Lead CNP Reviews Lead CNP Financial Researcher				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Enter and Approve a Program Application				
Pre-Conditions:		System users have successfully logged in to the system and have sufficient rights to do the steps identified.				
Assumptions:		New program applicants have already established an ID and have received the password required to enter the system.				
Constraints:		None				
Primary Path:		Apply to Program		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Institution Director (I/D) Selects Option to Apply to a Program	System prompts for ID and password		ID and Password		
2	I/D Enters Password Required to get to the Application Site	System validates password and requires I/D to change password before proceeding with application	I/D Modifies Password	Old Password New Password	I/D password must be changed only the first time into the application site.	
3	I/D Selects Program's to Apply To	System identifies the applications that must be completed.	Program Lead Enters Application on behalf of the I/D.	Program ID		
4	I/D Selects the Application to Complete	System starts the selected application process. System enforces corresponding data validations as information is entered. System notifies I/D of additional documents that must be submitted (may be attached, mailed, or faxed depending on the doc.)	I/D Completes NSLP Application I/D Completes SMP Application I/D Completes CACFP Application I/D Completes ASSP (CACFP) Application I/D Completes SFSP Application I/D Completes FDCH Application I/D Completes FDP TEFAP Application System populates application with data from form previously saved but not yet submitted. CNP Database Maintenance Lead Completes Application from hard-copy.		System enforces corresponding data validations as information is entered.	RFP Response to include listing of all data included in each application.
5	I/D Submits Application	Update application status to "submitted" System records audit trail of application submission System Tracks "Submission Events" History System notifies Program Lead of application to be processed.	Save Unsubmitted Application Delete Saved but Unsubmitted Application Cancel Entry of Application without Saving Resubmission of Edited Application	Application Status Submitted Date/Time	(Must create user ID in order to save application.) Application Status must be from [saved, submitted, deleted, In Review, accepted, rejected, Returned]. Validate acceptability of electronic signature.	

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

6	I/D Prints Application				Institution must be able to print a hard copy of the Application as it was submitted, including associated agreement information.	
7	Program Lead selects option to review a submitted Application	System displays a list of program specific applications that have been submitted but not yet approved.				
8	Program Lead selects Application to review	System displays details of the selected Application. System checks I/D and Institution against "Disqualified" list of individuals and institutions and notifies Program Lead of any issues.			A disqualified institution or individual may not participate in any CACFP program.	
9	Program Lead Tracks the Receipt and Status of Associated Documents	System facilitates entry and validation of information.	Program Lead overrides the required submission of an associated document.	Document Type Submission Status Submission Status Date Utah Dept. of Commerce Registration (for all non-public institutions) CACFP-CACCI Management Plan CACFP-CACCI Site/Facility Management Plan CACFP-CACCI Budget CACFP-CACCI School Food Agreement CACFP-CACCI Commercial Vendor Contract CACFP-CACCI (ASSP) Management Plan CACFP-CACCI Facility License CACFP-FDCH Financial Budget CACFP-FDCH IRS Documentation 990 and 501C3 CACFP-FDCH Job Description CACFP-FDCH Management Plan SFSP Budget SFSP Management Plan SFSP Site Operation Plan Compliance, Fire, Health Certificate (for all non-state licensed institutions) TEFAP Certificate of Liability Insurance TEFAP 501(c)(3) certificate TEFAP Contract with FSMC TEFAP Current & Previous Years' Licences TEFAP Program Budget TEFAP Disclosure of Lobbying Activities	All associated documents must be received and approved before application can be approved	
10	Program Lead Approves Application	System ensures that all associated documents have been submitted. System updates application status to "In Review."	I/D Modifies Application Program Lead Rejects Application Program Lead Returns Application for Modification Program Lead Records Pre-approval Visit(CACCI and TEFAP)	Application Status		
11	CNP Director Gives Final Approval for Participation	System updates application status to "Approved" System assigns internal agreement # and Internal Institution ID #.	CNP Director Rejects Application I/D Modifies Application	Agreement # Institution ID #		

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

12	CNP Financial Researcher Enters State Vendor #	System notifies FDP Tech of newly approved agreement System communicates required details of new agreement to BASE (Accounting System) System notifies I/D of application status	Establish Vendor # Program Lead notifies I/D of Application Status with Hard Copy Application and Status Letter	Vendor #		
13	CNP Reviews Lead Assigns New Institution to CNP Program Reviewer			Reviewer ID		
14	Program Lead Prints Hard Copy Application and Status Letter (USOE)				USOE Must keep a hardcopy of the agreement on file.	To keep in paper files.

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

Alternate Path 1:		Complete NSLP Application	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Selects NSLP Programs to Participate in			FDP participation ASSP Participation SBP Participation	No separate application for SBP or ASSP-NSLP	
2	I/D Enters Institution Information	System facilitates entry and validation of information.	CNP Financial Researcher assigns SFA # for non-public school districts.	In addition to the information collected in "Investigate Program" Responsible Parties w/ info SFA # (District #) # Students in District Meal prices to be charged by institution: Lunch, Bkfst, K Milk: identify if serving free; price if selling reduced; price if selling paid for elementary, JHS, HS, Adult. Prices charged for other meals.	Type of Institution = District, Charter, RCCI, Lab, Private School Meal prices are Utah-specific data fields. An upper limit is imposed on reduced prices for breakfast & lunch.	
3	I/D Enters Site Information for each site that will be participating in the program(s)	System facilitates entry and validation of information.		State School Code (or code assigned by CNP) School Name Site Type (public, private, charter, lab, RCCI, other) Address (pull from USOE directory if avail.) School Year Type (traditional, Year-Round, etc.) NSLP? Y/N Breakfast Program? Y/N SFSP Waiver? Y/N Offer vs. Serve? Y/N POS Accounting Method (EOL, Computer, Exception) Explain POS Exception Meal Count Collection Procedure (computer, rollbook, exception) Verification method (focused, random) SMI System Selected ASSP Specific Info: Supervisor Name, contact info School & District Qualifier School FR % Year of Qualification and Expiration Date Hours of School Operation Months of School Operation Days & Time of After School Program ASSP Serving Time Description of Enrichment Activity		
4	I/D Enters Intent to use USOE Prototype Eligibility Forms and Policies		I/D Submits Custom Application Form for Pre-Approval by USOE	Collection Method Selected Description on Non-Std Collection Method Point of Service Method Selected Description of Non-Std POS Method		
5	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey)	System identifies that this has been completed once so the institution does not have to complete it again for other applications.		USDA Regulated information	Collected once and covers all applications	Return to Apply to Program - Line 4.

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

	Alternate Path 2:	Complete Special Milk Application	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Institution Information	System facilitates entry and validation of information.		In addition to the information collected in "Investigate Program" Institution Purchase Price for milk Assisted by Food Svc. Mgt. Co?		
2	I/D Enters Site Information for each Site	System facilitates entry and validation of information.		Site Name Address Pricing/Non Pricing Status Reimbursement Type (Free, Reduced or Paid) Dates of Operation Type of Program Hours of Attendance Days Per Week Operation Charge for Milk Types	Type = school year, summer only	
3	I/D Enters Intent to use USOE Prototype Eligibility Forms and Policies		Submit Custom Free/Reduced Application Form for Pre-Approval by USOE.			
4	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey)	System identifies that this has been completed once so the institution does not have to complete it again for other applications.		USDA Regulated information	Collected once and covers all applications	Return to Apply to Program - Line 4.

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

	Alternate Path 3:	Complete CACFP-CACCI Application	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Indicates if this Application is being used to apply for Child Care or ONLY for the At-Risk Snack Program under CACFP		Some information on the standard CACFP application does not need to be completed if this application will be used strictly for ASSP.	ASSP indicator		
2	I/D Enters "Institution" Information	System facilitates entry and validation of information.		In addition to the information collected in "Investigate Program" Contacts w/phone, e-mail Federal ID / W-9 Type of Organization (select) (CACFP only) Services Provided (select all that apply) CACFP Participation History CACFP in Other States? (which) Commodities or Cash in Lieu? (CACFP only) Pricing/Non-Pricing? (CACFP only) Meal Pricing Information (CACFP only) Sources of Other Food Service Income Previous Disqualification Information for Institution and Responsible Parties Responsible Parties and or Individuals w/ Date of Birth (DOB) Type of Food Service Contracted Food Services Names, Addresses, DOB, Relationships Of Board Members		
3	I/D Indicates Compliance w/ Various Policies					
4	I/D Enters Facility Operation Application and Plan (Site) for each Facility	System facilitates entry and validation of information.		Facility Name Physical Address Contacts w/Phones & e-mail Primary Type of Service License (#, Expiration) /License Exempt, (Public School, Religious, Other,(Compliance, Fire, Health Certificate)) Pre-Op Visit by SO Completed Eligibility of For-Profit Center (see line 5 for details) # Enrolled Free, Reduced, Paid Meal Service Types Meal Service Times Times Type of Food Service (Select) Hours of Operation Week Days of Operation Days will be Closed Additional ASSP Site Info: School & District Qualifier School FR % Year of Qualification and Expiration Date Description of Enrichment Activity Expiration Date (CACCI)	Must have >=25.0% Title XX (or XIX) in order to participate Title XIX and XX are not applicable to ASSP.	

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

5	I/D Enters Info to Calculate Site Eligibility to Participate in Program	System calculates eligibility and notifies I/D real-time.		# Title XX Children or FR Children License Capacity Total Children Enrolled # Title XIX or XX Adults or FR Adults License Capacity Total Adults Enrolled	Must have >=25.0% Title XX (or XIX) in order to participate Adults and Title XX children are not applicable to ASSP.	
6	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey) for each Facility	System identifies that this has been completed once so the institution does not have to complete it again for other applications.		USDA Regulated information	Collected once and covers all applications	Return to Apply to Program - Line 4.

	Alternate Path 4:	Complete Summer Food Application	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Sponsor Information	System facilitates entry and validation of information.		In addition to the information collected in "Investigate Program" Contacts Responsible Party Information Dates of Operation Total Days of Operation Type of Applicant (from list) Adult Meal Prices (B,L,S,S) Various Y/N Questions Media Releases Issued Y/N		
2	I/D Enters Sponsor Budget Summary Information	System facilitates entry and validation of information.		Total Admin Labor Total Admin Budget Total Operational Budget		
3	I/D Enters Site Information for each site that will be participating in the program(s)	System facilitates entry and validation of information.		Site ID, Name, Address, Phone Site Location Type (rural, urban) Site Type & Documentation of Eligibility (varies by type) Not RCCI? Operating Days by Month Site Attendance & Meal Service (numbers & time by meal type) Various Custom Y/N Questions Meal Service Style (Cafeteria, Packaged) Meal Prep Method (select) Indoor/Outdoor Service		
4	I/D Enters Intent to use USOE Prototype Forms and Policies	System facilitates entry and validation of information.	Submit Custom Application Form for Pre-Approval by USOE	Eligibility Collection Policy Point of Service Method Selected		
5	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey)	System identifies that this has been completed once so the institution does not have to complete it again for other applications.		USDA Regulated information	Collected once and covers all applications	
6	I/D Completes and Submits Request for Advance Funding	System facilitates entry and validation of information.		Payment Type (Admin and or Operational) Payment Date (select from list)	Restrictions apply to advance requests for several specific days.	Return to Apply to Program - Line 4.

CNP Use Case - #2 Apply to Program

Revised 9/15/2004

Alternate Path 5:		Complete CACFP-FDCH Application	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters "Institution" (Sponsor) Information	System facilitates entry and validation of information.		In addition to the information collected in "Investigate Program" Street Address Contact Info Responsible Party Date of Birth Federal ID / W-9 Dept. of Commerce Entity # and Expiration Date Office Hours Sources of Other Income CACFP Participation Background Type of Sponsor Administrative Advance Requested? Participation in Other State? Reimbursement Method for Tier-2 Mixed Homes Public Program Funding History (for last 7 years)		
2	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey) For Children	System identifies that this has been completed once so the institution does not have to complete it again for other applications.		USDA Regulated information collected for children	Collected once and covers all applications	
3	I/D Enters Civil Rights Desk Audit (Racial / Ethnic Survey) For Providers	System facilitates entry and validation of information.		USDA Regulated information collected for providers		Return to Apply to Program - Line 4.

Alternate Path 6:		Complete TEFAP Application	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Institution Information	System facilitates entry and validation of information.		In addition to the information collected in "Investigate Program" Delivery Address Contact Info (Director, normal, emergency) Board Members w/address Institution Status (public, priv non-prof, govt) 100 % Needy? Y/N Meals Prepared by FSMC? (B,L,S, other) Serve Adjudicated Persons? Y/N Public Notification System? Y/N Non-English Service? Y/N Accessible to Disabled? Y/N DCFS Foster Home? Y/N Commodity Storage Reimb. Budgets		
2	I/D Enters Site Information	System facilitates entry and validation of information.		Site Name Site Address Responsible Person Phone email		Return to Apply to Program - Line 4.

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Use Case Name:	#3 - Pay a Claim
Primary Actors:	Institution Director CNP Accounting Tech CNP Bud.& Acctng. Officer
Secondary Actors:	USOE Accounting
Tertiary Actors:	State Finance
Goal:	Submit and Pay a Claim
Pre-Conditions:	All actors have logged in to the CNP web-based system. CNP Actors are valid system users and have the rights required to perform the steps identified. Institution has already been accepted as a participant in a program.
Assumptions:	Institution has Internet access.
Constraints:	None

Primary Path:		Pay a Claim	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Institution director (I/D) selects option to enter a claim	System displays a list of the programs that the institution participates in.	Enter Claim from Paper Form. Claims for NSLP and SBP "Provision Schools" are sent to CNP Accounting Tech for input into system.		Institution must be currently or previously enrolled in the program they are applying for a claim. Claims must be submitted monthly.	
2	I/D selects the program for which to enter a claim	System starts the claim process corresponding to the selected program.	Enter Claim for NSLP Enter Claim for Special Milk Enter Claim for School Breakfast Enter Claim for Non-Profit/Public Child & Adult Care Enter Claim for For-Profit Child Care Enter Claim for Family Day Care Homes Sponsor Enter Claim for After School Snack Program Enter Claim for SFSP Waiver Enter Claim for Summer Food Service Program		Must maintain a record of original claim form and all subsequent amendments.	
3	I/D Submits Claim	Update claim status to "submitted" System records audit trail of claim submission	Save Unsubmitted Claim Delete Saved but Unsubmitted Claim Cancel Entry of Claim without Saving	Status Status Date Preparer ID Approver ID Submitted Date/Time	Claim Status = saved, submitted, deleted, accepted, USOE Accounting, rejected, paid. If Approver is not the preparer, approver must enter password.	
4	I/D Prints Claim				Institution must be able to print a hard copy of the claim for their records as it was submitted.	
5	CNP Accounting Tech (A/T) selects option to audit a submitted claim	System displays list of claims that have been submitted but not yet accepted.			All submitted claims must be audited before they can be paid.	
6	A/T selects claim to audit	System displays details of selected claim. System brings to the attention of the A/T any claim details that do not meet the applicable edit checks.				
7	A/T accepts claim as submitted	Update claim status to "accepted"	Reject Claim Modify Claim	Claim Status Status Date	Claim is unchangable after submission until next submission cycle. If claim is submitted or modified, it must go through the "appeals" process.	

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

8	CNP Budget & Accounting Officer (BAO) selects option to generate and review payment documents	System prepares payment documents and presents them for review. System flags claims for institutions with open corrective actions.	A/T Generates & Reviews Payment Documents before BAO approves them. BAO holds payment due to an open corrective action.			
9	BAO approves payment documents	System sends payment documents to USOE Accounting (BASE System). System records the details of the payment documents sent to USOE Accounting. System updates claim status to "USOE" for each claim submitted.	Reject/Cancel Review of Payment Documents. May require a modification to a claim before approving payment documents.	Claim Status		Need an interface with the BASE system to input payment documents and to receive confirmation that payments were made.
10	A/T Records Receipt of Claim Payment Acknowledgement	Update payment document status to "paid". Update claim status to "paid"		Check Number Check Date Claim Status & Date Pay Doc Status & Date		This info feeds the Weekly Draw process.

Alternate Path 1:		Enter Claim for National School Lunch	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone)	Amend NSLP Claim Submit a "Provisional" NSLP Claim Select Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period Number of Operating Sites Claimed	"Common Claim Rules" are as Follows: Claim Type = (New, Amended) Available claim periods are limited to claim periods already closed for which the institution has not yet submitted a claim. The institution must have been enrolled in the program during the claim period. Any late claim not submitted within 60 days following the close of a month will be disallowed. A single claim period may not include dates from both June and July, or September and October. Custom start date may not be more than 10 days prior to the normal start date for the period selected. Custom end date may not be more than 10 days after the normal end date for the period selected. Rates used to calculate reimbursements must always be the rates applicable to the Claim Period to which the claim applies.	
2	I/D enters variations in sites and days of operation required to calculate Average Days of Operation (ADO)	System verifies total sites and days and calculates ADO.		Claim Sites Claim Days NSLP ADO	The total number of sites must match the number entered in step 1. The number of days for any given site may not exceed the number of days in the reporting period.	

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

3	I/D Enters Claim Details	System calculates maximum eligible and validates individual numbers and totals. System calculates Average Days Participation (ADP). System calculates and displays the amount to be reimbursed.		For Free, Reduced, Paid, and Total: enter Children Approved, system calculates Maximum Eligible, enter Total Lunches Served, and enter Non-Public Lunches Served. NSLP Attendance Factor ADP Reimbursable Amount	"Severe Need Lunch Rule" - If 60% of all lunches served 2 years ago were Free or Reduced, then all lunches served this year receive an additional two cents reimbursement per lunch served. (This is implemented at the claim level. Just add 2 cents times the grand total lunches served.) Reimbursement Amount = # meals claimed * applicable reimb rate. (NSLP lunches use the sum of two reimb rates (section 4 & section 11)) (Districts also receive additional reimbursement rate from Liquor Tax funds (02) on total lunch meals claimed.) Provisional claims use different rate tables than the standard claims.	Return to Pay a Claim - Line 3
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Alternate Path 2:		Enter Claim for Special Milk	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.)	Amend Special Milk Claim Select Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP	
2	I/D Enters Claim Details	System calculates and displays reimbursement total		Number of Institutions Serving Milk Number of Sites Serving Free Milk Average Milk Price Paid Milk Count Reimb at Milk Price Paid Milk Count Reimb at Federal Rate	Number of Institutions serving milk, or free milk, may not exceed number approved on program application (Schedule A) Reimbursement rate is the lesser of Milk Price Paid and the Assigned Federal Rate	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 3:		Enter Claim for School Breakfast	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.)	Amend Breakfast Claim Submit a "Provisional" Breakfast Claim Select Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP	
2	I/D enters variations in sites and days of operation required to calculate Average Days of Operation (ADO)	System calculates and displays reimbursement total System calculates ADO.		Number of Sites Claimed Variations in Operations (Sites and Days) ADO Regular Sites Reporting Severe Need Sites Reporting	The total number of variant sites must match the number of sites claimed. The number of days for any given site may not exceed the number of days in the reporting period. $ADO = ((sites1 * days1) + (sites2 * days2) + \dots) / \text{total operating sites this period.}$ Regular and Severe Need sites must be \leq approved number on Schedule A. Regular + Severe Need must = total sites entered. Provisional claims use different rate tables than the standard claims.	
3	I/D Enters Regular Breakfast Details	System calculates ADP for Total Regular Breakfasts		Num Regular Bkfst Served Free Num Regular Bkfst Served Reduced Num Regular Bkfst Served Paid Total Num Regular Bkfst Served ADP for Total Regular Bkfst Served	Total served entered by I/D must equal the sum of Free, Reduced, & Paid. Regular ADP = Total Regular Breakfasts Served / ADO	Make I/D enter total, not the system.
4	I/D Enters Severe Need Breakfast Details	System calculates ADP for Total Severe Need Breakfasts System calculates ADP for Total Severe Need Free & Reduced Breakfast System calculates ADP for Total Breakfasts Served System displays counts from last reporting period (Free, Reduced, & Paid for Regular and Severe Need Breakfasts Served)		Num Severe Need Breakfast Served Free Num Severe Need Breakfast Served Reduced Num Severe Need Breakfast Served Paid Total Num Severe Need Breakfast Served ADP for Total Severe Need Breakfast Served ADP for Total Free & Reduced Breakfast Served ADP for Total Breakfasts Served	Total served entered by I/D must equal the sum of Free, Reduced, & Paid. Severe Need ADP = Total Severe Need Breakfasts Served / ADO Free & Reduced ADP = Total Free + Total Reduced Breakfasts Served / ADO Total ADP = Total Breakfasts Served / ADO	Make I/D enter total, not the system.
5	(After last piece of data is entered)	System calculates and displays reimbursement total			Uses Standard Reimbursement formula.	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 4:		Enter Claim for Non-Profit/Public Child (and Adult) Care	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.) System prompts I/D to confirm accuracy of institution address & phone number.	Amend Non-Profit/Public Child Care Claim Select Custom Claim Period I/D Updates Institution Address or Phone Number Copy Contact Phone to Institution Phone If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period Institution Address Institution Phone Institution Contact Phone Number	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP	
2	Steps 3 - 4 are repeated for each approved type of care site.				Based on the type of care sites this institution is approved for in its agreement. (Current care site types are: Child Care Centers; Outside School Hours Care Center; Head Start; Homeless Shelters; Non-Profit/Public Adult Care)	
3	I/D Enters Site & Days Details			Days Claimed Number of Claiming Sites Children/Adults Enrolled Average Attendance	Days Claimed must be <= the number of days in the claim period. Claiming Sites must be <= the applicable number of approved sites. Avg. Attendance must be <= number Enrolled	
4	I/D enters number of Free, Reduced, and Paid meals of this type claimed. (This step is repeated for each type of meal that the site is approved to claim.)	System calculates (but does not display) the reimbursement amounts earned.		[Meal Type] Free Claimed [Meal Type] Free Reimb [Meal Type] Reduced Claimed [Meal Type] Reduced Reimb [Meal Type] Paid Claimed [Meal Type] Paid Reimb	Meals claimed must be <= Enrolled * Days Claimed Reimbursement Amount = Meals Claimed * Applicable Meal Rate in the Non-Profit/Public Care Rate Table	
5	(After last piece of data is entered for all sites and all meals)	System calculates and displays reimbursement subtotals and grand total.		Cash in Lieu Meal Reimbursement Total Reimbursement	Cash in Lieu (CIL) only applies if institution is not receiving commodities. CIL = Sum of all lunches and suppers served * applicable CIL reimbursement rate. Meal Reimbursement = Sum of all reimbursements for each meal type. Total Reimbursement = Sum of CIL and Meal Reimbursement	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

	Alternate Path 5:	Enter Claim for For-Profit Child Care Center	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.) System prompts I/D to confirm accuracy of institution address & phone number. System displays name, address, and phone number of selected facility System notifies the appropriate program lead of the new personell.	Amend For-Profit Child Care Claim I/D Updates Institution Address or Phone Number Copy Contact Phone to Institution Phone Indicate New Cook or Director Select Pre-set or Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period Institution Address Institution Phone Institution Contact Phone Number Facility ID New Personnel Flag	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP Facility being claimed = Lookup list containing all the Facilities associated with this institution An institution may file a claim for a specific facility only once. New directors and cooks need to be trained.	
2	I/D Enters Days & Enrollement Information	System displays the facility's License Capacity. System calculates the percent of Title XX System calculates the percent of Free & Reduced System validates that minimum requirements for Title XX or Free & Reduced are met.	System notifies I/D that CCC Participation Eligibility Requirements were Not Met	Number of Days Claimed Children Enrolled at Facility Children Paid by Title XX Percent Paid by Title XX Number Free & Reduced Percent Free & Reduced Average Daily Attendance	Days Claimed must be <= the number of days in the claim period. Children enrolled must be <= the License Capaity * the number of approved sessions (per the agreement) The percent Title XX is the greater of the following: Paid Title XX / Total Enrolled; or Paid Title XX / License Capacity The percent Free & Reduced is the greater of the following: Total Free & Reduced / Total Enrolled; or Total Free & Reduced / License Capacity * A For Profit Child Care Center must have a Title XX Percentage or a Free & Reduced Percentage that is at least 25% (without rounding up) in order to submit a claim for a given claim period. Avg Daily Attendance must be <= Children Enrolled	
3	I/D enters number of Free, Reduced, and Paid meals of this type claimed. (This step is repeated for each type of meal that this type of site for this institution is approved to serve.)	System calculates (but does not display) the reimbursement amounts earned. System compares the total meals of this type claimed this month vs. those claimed last month.	I/D Explains Significant Difference in Meals Claimed	[Meal Type] Free Claimed [Meal Type] Free Reimb [Meal Type] Reduced Claimed [Meal Type] Reduced Reimb [Meal Type] Paid Claimed [Meal Type] Paid Reimb	Meals claimed must be <= Enrolled * Days Claimed Reimbursement Amount = Meals Claimed * Applicable Meal Rate in the For-Profit Care Rate Table	
4	(After last piece of data is entered for all meals at all site types)	System calculates and displays reimbursement subtotals and grand total.		Cash in Lieu Meal Reimbursement Total Reimbursement	Cash in Lieu (CIL) only applies if institution is not receiving commodities. CIL = Sum of all lunches and suppers served at all site types * applicable CIL reimbursement rate. Meal Reimbursement = Sum of all reimbursements for each meal type at each site type. Total Reimbursement = Sum of CIL and Meal Reimbursement	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 6:		Enter Claim for Family Day Care Homes Sponsor	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.) System prompts I/D to confirm accuracy of institution address & phone number.	Amend Family Day Care Homes Sponsor Claim I/D Updates Institution Address or Phone Number Copy Contact Phone to Institution Phone Select Pre-set or Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period Institution Address Institution Phone Institution Contact Phone Number	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP If the contact phone number should be saved as the institution phone number, make the change to the institution information.	
2	I/D enters number of Providers by Tier (I, II-High, II-Low, II-Mixed, Total)	System validates against maximums allowed in agreement. System validates that the sum of all providers entered matches the total entered		Tier I Providers Tier II Higher Providers Tier II Lower Providers Tier II Mixed Providers Total Providers	<= # Providers specified in Agreement for that Tier (or Total)	
3	I/D enters Average Daily Attendance (ADA) by Tier (I, II-High, II-Low, II-Mixed)			Tier I ADA Tier II Higher ADA Tier II Lower ADA Tier II Mixed ADA	Whole numbers only	
4	I/D Enters number of Meals (B,L,S,S) claimed. (This step is repeated for each Tier [1, 2H, 2L] that the institution is approved for.)	System calculates (but does not display) the reimbursement amounts earned. System validates that the sum of all meals entered by Tier matches the total entered.		[Tier] Breakfasts Claimed [Tier] Breakfasts Reimb [Tier] Lunches Claimed [Tier] Lunches Reimb [Tier] Suppers Claimed [Tier] Suppers Reimb [Tier] Snacks Claimed [Tier] Snacks Reimb [Tier] Total Meals Claimed	Total meals entered must equal the sum of all the meals entered for this Tier. FDCH has its own table of reimbursement rates.	
5	I/D enters the claimed amount for Administrative Expenses	System validates against business rules.		Admin Claimed	Whole dollars only. FDCH Max Allowable Admin Expenses for a month = \$86/home for first 50 homes + \$65/home for next 150 homes + \$51/home for next 800 homes + \$45/home for any additional homes.	
6	(After last piece of data is entered)	System calculates and displays reimbursement subtotals and grand total.		Admin Reimbursement Meal Reimbursement Total Reimbursement	Admin Reimb = Adjusts Admin Expenses claimed to fit the following 3 rules. 1) Max allowable Admin for the month is determined by formula detailed in Business Rules section. 2) YTD Admin Expenses must be <= Budget amount in agreement. 3) YTD Admin Expenses must be <= 30% of (YTD Admin + YTD Food) Meal Reimbursement = Sum of all reimbursements for each meal type at each Tier. Total Reimbursement = Sum of Admin and Meal Reimbursements	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 7:		Enter Claim for After School Snack Program	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.)	Amend ASSP Claim Select Pre-set or Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP	
2	I/D Enters the Claim Details This step is performed for each aspect of the After School Snack Program that the sponsor is participating in (per the agreement). CACFP - At Risk CACFP - Homeless Shelters NSLP - Area Eligible NSLP - Application Eligible	System validates that the total number of sites adds up to the number entered. System verifies total and calculates ADO System calculates ADP System calculates reimbursement amount	Under NSLP - Application Eligible, the snack counts and reimbursement amounts are entered/calculated for Free, Reduced, and Paid. For this type, ADP is only calculated for the total of F/R/P.	Operating Sites Claimed this Period Operating Variations (Sites and Days) ADO Snacks Claimed ADP Reimbursement Amount	Total Sites must be <= the number of sites allowed on the agreement. The total number of sites in the variations must match the "Total Sites" number entered. The number of days for any given site may not exceed the number of days in the reporting period. ADO = ((sites1*days1) + (sites2*days2)+ . . .) / total operating sites this period Edit check on number of snacks served is to compare against last month's claim. Alert user if not within x% of last month's claim. Alert CNP Accounting Technician if the claim is submitted over the threshold of x%. ADP = Total Snacks Claimed / ADO Reimbursement Amount = # Snacks claimed * applicable reimb rate	
3	(After last piece of data is entered)	System calculates Total CACFP ADP (but does not display) System calculates total NSLP ADP (but does not display) System calculates and displays reimbursement total		Total CACFP ADP Total NSLP ADP Total Reimbursement	Total CACFP ADP = Sum of ADP for At Risk + ADP for Homeless Shelters Total NSLP ADP = sum of ADP for Area & Application Eligible providers Total reimb = sum of all sub types reimb.	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 8:		Enter Claim for SFSP Waiver	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.)	Amend SFSP Waiver Claim Select Pre-set or Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP	
2	I/D Enters the Claim Details This step is performed for each aspect of the SFSP Waiver Program that the sponsor is participating in (per the agreement). SFSP Under NSLP SFSP Regular Breakfast SFSP Severe Need Breakfast SFSP under ASSP [NSLP]	System validates that the total number of sites sums to the number entered. System verifies total and calculates ADO System calculates ADP System calculates reimbursement amount		Operating Sites Claimed this Period Operating Variations (Sites and Days) ADO Number of Children Approved Number of Meals Served ADP Reimbursement Amount	Total Sites must be <= the number of sites allowed on the agreement. The total number of sites in the variations must match the "Total Sites" number entered. The number of days for any given site may not exceed the number of days in the reporting period. ADO = (sites1*days1) + (sites2*days2)+ . . .) / total operating sites this period Meals served <= children approved * days claimed ADP = Total meals Claimed / ADO Reimbursement Amount = # meals claimed * applicable reimb rate. (NSLP lunches use the sum of two reimb rates (section 4 & section 11)) (Districts also receive additional reimbursement rate from Liquor Tax funds (02) on total lunch meals claimed.)	
3	(After last piece of data is entered)	System calculates Total Breakfast ADP System calculates and displays reimbursement total		Total Breakfast ADP Total Reimbursement	Total Breakfast ADP = Sum of ADP for Regular & Severe Need Total Reimbursement = sum of all SFSP Waiver reimbursement amounts by waiver type	Return to Pay a Claim - Line 3

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

Alternate Path 9:		Enter Claim for Summer Food Service Program	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Enters Claim "Header" Information	System presents new claim form and pre-populates selected fields (Institution name, agreement number, address, phone.)	Amend SFSP Claim Select Pre-set or Custom Claim Period If previously saved but not yet submitted, the system populates the claim form with the saved data.	Claim Type Claim Period Preparer's Phone	See "Common Claim Rules" under Alternate Path 1 - Enter Claim for NSLP, with the following exceptions: 1) A single claim may not include dates from both September and October, or December and January, and 2) The "10 days before" and "10 days after" rules do not apply.	
2	I/D enters the Variations in Operations.	System verifies total and calculates ADO.		Total Operating Sites Variation in Operations (Sites x Days) ADO	Operating Sites Claimed this Period Must be <= the number of sites allowed on the agreement. The sum of the sites must match the total entered. The number of days for any given site may not exceed the number of days in the reporting period. ADO = (sites1*days1) + (sites2*days2)+ . . .) / total operating sites this period	
3	I/D enters number of Eligible Children's Meals (B,L,S,S, Total) claimed.	System calculates (but does not display) the reimbursement amount earned for each type of meal. System validates that the sum of all Eligible meals entered matches the total entered. System calculates overall ADP.		Eligible Breakfast Claimed Eligible Lunches Claimed Eligible Suppers Claimed Eligible Snack Claimed Total Eligible Children's Meals Claimed ADP	Meals Claimed Must be <= ADO * Approved number on agreement The rate table used for a sponsor is identified on the agreement - it will correspond to either "Vended" or "Regular." A sponsor's sites must be all "Vended" or all "Regular." (Each has an associated rate table Total must = sum of the Eligible meals entered. ADP = Total eligible children's meals served / ADO.	
4	I/D enters number of 2nd Meals (B,L,S,S, Total) claimed.	System calculates (but does not display) the reimbursement amount earned for each type of meal. System validates that the sum of all 2nd meals entered matches the total entered.		2nd Breakfast Claimed 2nd Lunches Claimed 2nd Suppers Claimed 2nd Snack Claimed Total 2nd Meals Claimed	Must be <= 2% of the corresponding Eligible Meals claimed. (Follows standard rounding rules.) Total must = sum of the 2nd meals entered.	

CNP Use Case - #3 Pay a Claim

Revised 9/15/2004

5	(After all eligible and 2nd children's meals have been entered)	System calculates food and admin reimbursements for each meal.		Food Reimbursement for each Meal Admin Reimbursement for each Meal	Food Reimbursement = (Number of eligible meals + 2nd meals) * associated food reimbursement rate for that meal. Admin Reimbursement = (Number of eligible meals + 2nd meals) * associated admin reimbursement rate for that meal. (2nd meals only up to 2%)	
6	I/D enters number of Ineligible Children's Meals (B,L,S,S, Total) claimed.	System validates that the sum of all Ineligible meals entered matches the total entered.		Ineligible Breakfast Claimed Ineligible Lunches Claimed Ineligible Suppers Claimed Ineligible Snack Claimed Total Ineligible Meals Claimed	Total must = sum of the ineligible meals entered.	No reimbursement is made for ineligible children's meals.
7	I/D enters number of Eligible Adult Meals (B,L,S,S) claimed. This step is repeated for "Ineligible Adult Meals".	System calculates total In/Eligible Adult meals claimed.		In/Eligible Adult Breakfast Claimed In/Eligible Adult Lunches Claimed In/Eligible Adult Suppers Claimed In/Eligible Adult Snack Claimed Total In/Eligible Adult Meals Claimed	No edit checks Adult meal rates are in the agreement. Total = sum of the meals entered. "Eligible Adults" are workers associated with serving & preparing meals. (Applies to all meals on SFSP.) "Ineligible Adults" are parents, etc. who pay for meals. (Applies to all meals on SFSP.)	No reimbursement is made for adult meals.
8	I/D enters the program operating costs and Income	System calculates total operating costs System calculates total income received. System calculates and displays Reimbursable costs.		Operating Cost Food Operating Cost Labor Operating Cost Non-Food Operating Cost Total Income From Ineligible Adult Meal Payments Income From Non-SFSP Funds Income Total Total Reimbursable Costs	Must be whole dollars. Total Operating Costs = Food + Labor + Non-Food Income from adult meal payments must be >= the sum of the extension of ineligible adults * the associated meal rates (B,L,S,S). Non-SFSP Income Must be >= 0 if this is an Upward Bound Sponsor. Total Income = Adult Meal Payments + Non-SFSP Funds Received. Reimbursable Costs = Total Operating Costs - Total Income Received - OR - the sum of the food reimbursements calculated above (in step 18), whichever is less.	
9	I/D enters Administrative Costs	System validates against yearly budget amount.		Administrative Costs	YTD Administrative Costs may not exceed the yearly administrative budget amount identified on the agreement.	
10	(After last piece of data is entered)	System calculates and displays reimbursement totals for Food and Administrative Expenses.		Total Reimbursement	Total Reimbursement = sum of Food and Admin Reimbursements	Return to Pay a Claim - Line 3

CNP Use Case - #4 Review Institution

Revised 9/15/2004

Use Case Name:	#4 - Review Institution
Primary Actors:	Clock Reviews Lead Reviewer (could be a Program Reviewer, Fiscal Compliance Officer, FDP Tech)
Secondary Actors:	School Finance Contract Auditor Independent Auditor Contract Reviewer
Tertiary Actors:	N/A
Goal:	Ensure that institutions are operating within guidelines.
Pre-Conditions:	CNP Actors are valid system users and have the rights required to perform the steps identified. Institutions to be audited have been accepted into the programs. All actors have logged in to the CNP web-based system.
Assumptions:	A CNP Reviewer has been assigned to an institution.
Constraints:	None

Primary Path:		Review Institution	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Reviews Lead requests a list of reviews to be scheduled.	System generates a list of reviews that will be due within a specified timeframe.	The clock automatically notifies the Reviews Lead that a review is due.	Review Type Review Due Date Institution Name	A "Review" may be a review or an institution audit. Civil Rights Review is required in the first year of SFA participation.	
2	Reviews Lead Adjusts Planned Review Schedule and Review Assignments	System displays a "schedule" of future reviews (based on established cycles) and allows edits to the planned dates and/or assigned reviewer. System notifies the assigned Reviewer of the newly assigned review or a new date.	Schedule may be sorted by Review Type, Institution, Reviewer, or Due Date	Institution Review Type Assigned Reviewer Review Due Date	Valid review types are limited according to institution type [and the programs the institution is participating in]. Review cycles are maintained in the system data module.	
3	Reviewer Selects Review and Enters Tentative Scheduled Review Date	System displays a list of reviews assigned to the requesting reviewer.		Scheduled Review Date		
4	Reviews Lead Resolves Scheduling Conflicts			Scheduled Review Date Assigned Reviewer		
5	Reviewer Requests a Review Form	System generates a printed review form with Institution information filled in. System flags past or open corrective actions that should be addressed in this review.	Reviewer requests a review form to download to an electronic input device.			Low Priority
6	Reviewer Conducts Review and Records Results on a Paper Form		Reviewer conducts review and records results in a portable, electronic device.			

CNP Use Case - #4 Review Institution

Revised 9/15/2004

7	Reviewer Selects Review and Records the Results of the Review.	System displays a list of reviews assigned to that reviewer and, upon selection, displays the appropriate entry form based on the type of review results being entered.	Enter Summary of Review Results Enter Results of Audit Enter Results of FDCH Provider Review Download Review Results from Electronic Device			The details of virtually all reviews will be recorded on paper and stored in CNP's files. Only the summary of the review results will be entered into the system for tracking purposes.
8	Reviewer Closes Review	System updates review status	Resolve Corrective Action Resolve Serious Deficiency	Review Status Status Date		

Alternate Path 1:		Enter Summary of Review Results	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	Reviewer Enters Institution Level Review Information	System presents new review form and pre-populates selected fields (Institution name, agreement number, address, phone, CNP Program Reviewer, Scheduled Review Date) System validates information as it is entered.	If previously saved but not yet submitted, the system populates the review form with the saved data.	Institution ID Review Type Interviewees Reviewer Actual Review Dates (Begin/End) Review Period	A review may be at the institution level, the site level, or both. Institution-level header information is still required, even if the review is only at the site level. Review Type = Audit Follow-up, ASSP, CA Follow-up, CACF Admin, CRE, CRE Follow-up, CTV, Drop-in, FDCH SO Admin, FDP, IEF/CACF Admin, New CACCI/SO, Pre-Approval, SBP, SFSP, SMI, SMI Follow-up, SMP, STAR-C, STAR-S, TEFAP, Civil Rights, FSMC A follow-up review is always associated with an initial review of the same type.	The review summary sheet is a "visit" summary. A visit may be made up of multiple reviews of various types. Signatures (required?) Civil Rights ?? Y/N/NAs w/ Explanations ??
2	Reviewer Enters Site Level Review Information (Repeat information for each site reviewed)	System validates information as it is entered.		Site ID Interviewees Actual Review Date Unannounced? Y/N		Y/N/NAs w/ Explanations
3	Reviewer Enters Summary Review Results	System validates information as it is entered.	Reviewer Determines Follow-Up Reviewer Enters a Finding Resolve Corrective Action Resolve Serious Deficiency Enter Results of CRE Enter Results of SMI Review	Review Type Summary Score for each applicable Category	Categories will vary based on the type of review being recorded. Score = 1, 2, or 3 (or A,B,C, etc.) More than one review may be recorded on a single summary form. Must capture detailed information for a CRE. Must capture detailed information for an SMI review.	The specific details of the review will be kept on the hard-copy detailed review form. The only information that needs to be kept in the database is the institution, site, & summary information shown here. Return to Review Institution - Line 7.

CNP Use Case - #4 Review Institution

Revised 9/15/2004

Alternate Path 2:		Enter Results of Audit	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	Reviewer Enters Audit Results	System validates information as it is entered.	Resolve Corrective Action Resolve Non-CA Follow-Up Issues Reviewer Enters a Finding	Audit Type (Organizational or Program Specific) Audit Contact Auditor Actual Date Opinions (Adverse, Disclaimer and or Qualified) Y/N/NA w/ comments Numerical Tracking (+/- Homes, \$, etc.)	Meet GAAP and GAAS, A-133 compliance	Return to Review Institution - Line 7.

Alternate Path 3:		Enter Results of CRE	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	Reviewer Enters District-Level CRE Results	System validates information as it is entered.	Import Results from electronic CRE form.	In addition to the federally mandated CRE information, the form must be customizable by the addition of Utah-specific "Y/N/NA" questions with explanations.	Review data is never purged from the database.	
2	Reviewer Enters Site-Level CRE Results	System validates information as it is entered.	Import Results from electronic CRE form.	In addition to the federally mandated CRE information, the form must be customizable by the addition of Utah-specific "Y/N/NA" questions with explanations.		Return to Review Institution - Line 7.

Alternate Path 4:		Enter Results of SMI Review	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	Reviewer Enters School Meals initiative (SMI) Review Results	System validates information as it is entered.	Import Result from electronic SMI review form.	In addition to capturing the federally mandated information, this review form must be customizable by the addition of Utah-specific "Y/N/NA" questions with explanations.	Review data is never purged from the database. Only one site is reviewed each time.	Return to Review Institution - Line 7.

CNP Use Case - #4 Review Institution

Revised 9/15/2004

Alternate Path 5:		Enter Results of FDCH Provider Review	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	Reviewer Enters Provider Drop-In Review Results	System validates information as it is entered.	Import Results from electronic FDCH Provider Review form. Reviewer Updates Provider Address or Phone information.	Various Utah-specific "Y/N/NA" questions with explanations. SO Monitor Date of Last SO Monitoring Visit SO Response Requested Date SO Response Due Date SO Response Received Date For 1 or more visits, enter the following: Visit Date / Time Interview Y/N (If No, select reason) For Own, Related, and Other Children, enter following info: Under 2 yrs: # Enrolled, # Present Over 2 yrs: # Enrolled, # Present Findings Y/N? (If Yes, answer Finding questions) Capacity Findings (select 0-many) For each of the following areas, answer Y/N. If N, select an associated finding and indicate if Action Required Y/N: Daily Records, Meal Records Menu Records, Meal Contents Identify Meal Observed (select) Food Available SO Fees Serious Health/Safety Concerns	Review data is never purged from the database. The FDCH Provider Review is a Utah-Specific review.	Return to Review Institution - Line 7.

CNP Use Case - #5 Resolve Corrective Action

Revised 9/15/2004

Use Case Name:		#5 - Resolve Corrective Action				
	Primary Actors:	Reviewer (could be a Program Reviewer, Fiscal Compliance Officer, or FDP Tech) A/R Billing Clerk Clock				
	Secondary Actors:	N/A				
	Tertiary Actors:	N/A				
	Goal:	Identify and Resolve a Corrective Action				
	Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. The institution or Entity receiving the corrective action must exist in the system.				
	Assumptions:	All records created here are tied to the associated institution.				
	Constraints:	Security settings limit who can initiate and close a corrective action.				
Primary Path:		Resolve Corrective Action	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Reviewer Initiates a Corrective Action	System ensures that all required information is provided	System prompts Reviewer to Initiate a Corrective Action because of a rating on a review.	Action Type (select) Action Required (select) Amount Owed/Due Explanation Due Date Status Status Date Reviewer ID	Type = Fiscal, Program Action = Fix It, Pay \$, Set up Payment Plan	Corrective actions include fiscal actions and OS&D claims against carriers, warehouses, etc.
2	Clock Requests a Status Update on Outstanding/Overdue Corrective Action	System notifies the associated reviewer to update the status on an outstanding corrective action.			A corrective action should be closed by its Due Date.	
3	Reviewer Updates the Status of a Corrective Action	System keeps status history file on corrective action.	Automated update via email response from Reviewer Reviewer flags corrective action for future review	Status Status Date Comment Reviewer ID	Status = Opened, Pending, Closed, Cancelled	
4	Reviewer adds a Comment to the Corrective Action			Comment Date Reviewer ID		
5	Clock Produces Payment Notices	System tracks that a notice was created and sent		Payment Notice Creation Date Amount		
6	A/R Billing Clerk Logs Receipt of a Check	System associates check to corrective action.		Date Amount Clerk ID Check Number		

CNP Use Case - #5 Resolve Corrective Action

Revised 9/15/2004

7	Reviewer Selects a Form Letter to Send	System merges institution information into the predefined form letter.		Initiation Letter Additional Action Needed Letter Close Letter OS&D Bill (Over, Short, & Damage)	Certain actions require that appeal rights be sent to the institution, these include overclaims and proposed termination	
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CNP Use Case - #6 Resolve Serious Deficiency

Revised 9/15/2004

Use Case Name:		#6 - Resolve Serious Deficiency				
	Primary Actors:	Reviewer (could be a Program Reviewer, Fiscal Compliance Officer, FDP Tech, A/R Billing Clerk) Clock				
	Secondary Actors:	N/A				
	Tertiary Actors:	N/A				
	Goal:	Enter and Resolve a Serious Deficiency				
	Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. The institution receiving the SD must exist in the system.				
	Assumptions:	All records created here are tied to the associated institution.				
	Constraints:	Security settings limit who can initiate and close a serious deficiency.				
Primary Path:		Resolve Serious Deficiency				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	Reviewer Initiates a Serious Deficiency	System ensures that all required information is provided		Deficiency Type (select) Action Required (select) Explanation Due Date Status Status Date Associated Corrective Actions Reviewer ID Prior Serious Deficiency? Y/N	Type = Fiscal, Program Action = Fix It, Pay \$, Set up Payment Plan	
2	Clock Requests a Status Update on Outstanding Serious Deficiency Action	Notifies the associated reviewer to update the status on an outstanding serious deficiency.				
3	Reviewer Updates the Status of a Serious Deficiency	System keeps status history file on Serious Deficiency.	Automated update via email response from Reviewer	Status Status Date Comment Reviewer ID	Status = Opened, Pending, Closed, Cancelled	
4	Reviewer adds a Comment to the Serious Deficiency			Comment Date Reviewer ID		
5	Reviewer Records Event Associated with Serious Deficiency	System keeps status/event history file on serious deficiency.		Event Event Date Comment Reviewer ID	Event = Proposed Termination, Terminated, Resolved	
6	Reviewer Selects a Form Letter to Send	System merges institution information into the predefined form letter.	Serious Deficiency Proposed Termination Combo Letter		Certain actions require that appeal rights be sent to the institution, these include overclaims and proposed termination	Desired, but not required

CNP Use Case - #7 Resolve Appeal

Revised 9/15/2004

Use Case Name:		#7 - Resolve Appeal				
	Primary Actors:	Reviews Lead Institution Director Clock				
	Secondary Actors:	Administrative Review (Appeal) Officer				
	Tertiary Actors:	N/A				
	Goal:	Record and Resolve an Appeal				
	Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. The action being appealed has been created in the system, along with the date the notification of the action was sent to the institution.				
	Assumptions:	All records created here are tied to the associated institution.				
	Constraints:	Security settings limit who can modify the details of the appeal process.				
Primary Path:		Resolve Appeal	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Reviews Lead Logs the Institution's Appeal Request.	System ensures that all required information is provided. System produces acknowledgement letter. System produces anticipated events schedule.	Institution Director submits the appeal request via the Internet.	Action being Appealed (select) Comments Status Status Date Reviews Lead ID Appeal Receipt Date Action Notice Receipt Date	Event schedules are based on the events associated with an action type, and the max days between events.	
2	Reviews Lead Records Event Associated with Appeal (This step is repeated for each event associated with a specific appeal.)	System records new event associated with the appeal process.	Alternatively, a "nice to have" approach would be to have the system generate the appropriate notification/response letter at each step in the process, ensuring that all steps are done within the prescribed schedule.	Event (select) Event Date Comment Appeal Status Outcome	Events = Received Hearing Notice, Received MOD, Appeal Withdrawn Because the maximum days between appeal events are federally regulated, if the system has a built-in reminder process, the "max days" between event types must be editable by event.	Memorandum of Decision (MOD)

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

Use Case Name:		#8 - Update Institution Information				
	Primary Actors:	Institution Director Program Lead Clock CNP Statistical Researcher				
	Secondary Actors:	N/A				
	Tertiary Actors:	N/A				
	Goal:	Update Information about an institution and/or its participation in a program.				
	Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. An institution has been accepted to participate in one or more Child Nutrition Programs.				
	Assumptions:	None				
	Constraints:	Some information can only be changed at certain times of the year.				
Primary Path 1:		Miscellaneous Updates	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Institution Director (I/D) selects and confirms an option to Withdraw from a Specific Program	System confirms I/D's request to withdraw from the specified program (this requires re-entry of the I/D's password). Upon confirmation of withdrawal, system records withdrawal date, marks the institution as withdrawn, and notifies the assigned program lead. System creates audit trail entry. System generates letter confirming withdrawal.	I/D notifies Program Lead either in writing or by phone of their desire to withdraw from a program.	Program Status Status Date		
2	I/D Changes Federal ID # or Entity Type	System facilitates the establishment of a new Federal ID # and Entity Type by transferring the current agreement and application information into a new entity. System requires the execution of a new agreement and suspends the old institution.		All current application information along with updated Federal ID# and Entity Type	Changing a Federal ID# or Entity Type constitutes a new entity, and therefore must execute a new agreement.	
3	Program Lead selects and confirms an option to Withdraw/Terminate an Institution from a Specific Program	System confirms Program Lead's request to withdraw an institution in the specified program. Upon confirmation of Withdrawal/Termination, system records Withdrawal/Termination date and marks the institution as withdrawn or terminated. System creates audit trail entry. System generates letter to institution notifying them of the Withdrawal/Termination.		Program Status Status Date Program Lead ID	Withdraw if inactive for 12 months	
4	Program Lead Confirms "All Closure Procedures have been Completed"	System produces notice to State Licensing regarding program changes		Closure Completed Date		

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

5	Clock Pulls "October Survey" Information from USOE Data Clearinghouse.	System saves data to system and records that the information for each institution has been updated.	"October Surveys" may also be printed, sent to the institutions, returned and entered into the system by the CNP Statistical Researcher. Institution enters survey information through web interface.	For each school in each district: Total Enrollment # For each grade at each school in each district: # Eligible Free Children # Eligible Reduced Children "October Survey Updated" Flag by school.	Numbers are fixed after the 15th of November. At update time for ASSP-NSLP, if less than 50% of an institution's students qualify for Free & Reduced, the ASSP site is no longer eligible for 100% free. CACFP certification for ASSP is good for 3 years based on the NSLP October Survey. Summer site certification for ASSP is good for 3 years based on the NSLP October Survey. School certification for ASSP is good for 1 year based on the NSLP October Survey.	NSLP Specific Information.
6	I/D Enters Verification Report Information	System validates data as it is entered, then saves it to the database.	Verification Report is received hard-copy and input by the Program Lead.	# of Direct Certification Letters on File # of Applications on File # of Approved Income Applications # of Approved Categorical Applications # of Applications Verified Results of Verification by 5 different categories Date Received	Due by the 15th of December.	
7	I/D Enters Lunch Participation Information for each School in the District	System enforces collection of information for existing sites	Lunch Participation worksheet is received hard-copy and input by the CNP Statistical Researcher.	Lunches Served Free Last Year Lunches Served Reduced Last Year Lunches Served Paid Last Year Total Lunches Served Last Year	Totals submitted on Lunch Participation Worksheet should match total of claims submitted for the same period.	Claim totals are received at the institution level. This worksheet info is at the school level.

Primary Path 2:		Update Institution Program Information	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	Clock generates and distributes notices regarding the annual updating of institution information		Update Materials are mailed to the institution	Renewal Time Frame Last Date Updated	Renewal Time Frames vary by Program	
2	Institution Director (I/D) Accesses the System and Makes the Appropriate Information Updates	System starts the selected update process. System enforces corresponding data validations as information is entered. System notifies I/D of additional documents that must be submitted for the update (may be attached, mailed, or faxed depending on the doc.)	Update NSLP Information (Includes ASSP and SBP) Update SMP Information Update CACFP-CACCI Information Update ASSP (CACFP) Information Update SFSP Information Update CACFP-FDCH Information Update TEFAP Information Program lead receives completed update materials from I/D and enters them into the system by hand.		System enforces corresponding data validations as information is entered. While the I/D is restricted in the information that may be updated, a CNP Program Lead may change any application data for an institution or site.	RFP Response to include listing of all data that may be updated for each program.
3	I/D Submits Updates	System sets Update status to "submitted" System records audit trail of updates System Tracks "Update Events" History System notifies Program Lead of updates to be processed.	Save Unsubmitted Updates Delete Saved but Unsubmitted Updates Cancel Entry of Updates without Saving Resubmission of Edited Updates	Update Status Submitted Date/Time Submitter ID	Update, submission, and review steps are repeated until approved by Program Lead	

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

4	I/D Prints Updated Information			Application Information	Institution must be able to print a hard copy of the Updated Application as it was submitted, including associated agreement information.	
5	Program Lead selects option to review submitted Updates	System displays a list of updates that have been submitted but not yet approved.		Institution Name Update Type Update Date Update Status		
6	Program Lead selects Updates to review	System displays details of the selected Updates, highlighting the information that has been changed.		Application Information		
7	Program Lead Tracks the Receipt and Status of Associated Documents		Program Lead overrides the required submission of an associated document.	Document Type Submission Status Submission Status Date Utah Dept. of Commerce Registration CACFP-CACCI Management Plan CACFP-CACCI Site/Facility Mgt Plan CACFP-CACCI Budget CACFP-CACCI School Food Agrmnt CACFP-CACCI Commercial Vendor Contract CACFP-CACCI (ASSP) Mgt Plan CACFP-CACCI Facility License CACFP-FDCH Financial Budget CACFP-FDCH IRS Documentation 990 CACFP-FDCH Job Description CACFP-FDCH Management Plan CACFP-FDCH Provider License SFSP Budget SFSP Management Plan SFSP Site Operation Plan Compliance, Fire, Health Certificate (for all non-state licensed institutions) TEFAP Certificate of Liability Insurance TEFAP Contract with FSMC TEFAP Current Licence TEFAP Program Budget TEFAP Disclosure of Lobbying Activities	All associated documents must be received and approved before an updated application can be approved	
8	Program Lead Approves Updates	System ensures that all associated documents have been submitted. System updates Update status to "In Review."	I/D Modifies Updated Information Program Lead Rejects Updates	Update Status Update Status Date		
9	Program Lead Prints Hard Copy of Updates and Update Status Letter (USOE)			USOE Must keep a hardcopy of updated agreements and application information.		To keep in paper files.

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

	Alternate Path 1:	Update NSLP Information		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Selects NSLP Programs to Participate in			FDP Participation? Y/N	NSLP Updates can also include updates for SBP and ASSP-NSLP.	
2	I/D Updates Institution Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Address Institution Type (District, Charter, RCCI, Lab, Private School) SFA # (District #)	Meal prices are Utah-specific data fields. An upper limit is imposed on reduced prices for breakfast & lunch.	
3	I/D Updates Site Information for each site that is participating in the program(s)	System validates information as it is entered. System Checks Data for Severe Need Breakfast Qualification	I/D Adds a New Site I/D Removes a Site	Except for the following, all site-level application information may be Edited: State School Code (or code assigned by CNP) School Name Site Type (public, private, charter, lab, RCCI, other) ASSP Specific Info: School & District Qualifier School FR % Year of Qualification and Expiration Date		
4	I/D Updates Intent to use USOE Prototype Eligibility Forms and Policies		I/D Submits Custom Application Form for Pre-Approval by USOE	Collection Method Selected Description on Non-Std Collection Method Point of Service Method Selected Description of Non-Std POS Method		
5	Program Lead Enters Provision Tracking Information		System Generates Renewal Notice	List of Sites w/ the following information: Base Year Base Year Total Enrolment Base Year # Free Base Year # Reduced Socioeconomic Data Source Type Provision Type Extension Date	Time Frame Varies by Provision Type	Return to Update Institution Program Information - Line 2.

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

Alternate Path 2:		Update Special Milk Information	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Updates Institution Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Address Institution Type		
2	I/D Updates Site Information for each Site	System validates information as it is entered.	I/D Adds a New Site I/D Removes a Site	All site-level application information may be Edited.		
3	I/D Updates Intent to use USOE Prototype Eligibility Forms and Policies		Submit Custom Free/Reduced Application Form for Pre-Approval by USOE.			Return to Update Institution Program Information - Line 2.

Alternate Path 3:		Update CACFP-CACCI Information	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Updates "Institution" Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Address Institution Type (select) (CACFP only) Institution Owner/Registered Agent Individuals w/ Date of Birth (DOB) Federal ID / W-9 CACFP Participation History Previous Disqualification Information for Institution and Responsible Parties (unless Resp. Parties changes)		
2	I/D Updates Facility Operation Application and Plan for each Facility (Site)	System validates information as it is entered.	I/D Adds a New Facility I/D Removes a Facility	Except for the following, all facility-level application information may be Edited: Facility Name Physical Address License (#, Expiration) /License Exempt, (Public School, Religious, Other, (Compliance, Fire, Health Certificate)) Pre-Op Visit by SO Completed Eligibility of For-Profit Center (see line 5 for details) # Enrolled Free, Reduced, Paid Additional ASSP Site Info: School & District Qualifier School FR % Year of Qualification and Expiration Date	Must have >=25.0% Title XX (or XIX) , or FR %, in order to participate	Return to Update Institution Program Information - Line 2.

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

Alternate Path 4:		Update Summer Food Information	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Updates Sponsor Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Addresses Institution Type		
2	I/D Updates Sponsor Budget Summary Information			Total Admin Labor Total Admin Budget Total Operational Budget		
3	I/D Updates Site Information for each site that will be participating in the program(s)	System validates information as it is entered.	I/D Adds a New Site I/D Removes a Site	Except for the following, all site-level application information may be Edited: Site ID Site Name Site Address Site Location Type (rural, urban) Not RCCI?		
4	I/D Updates Intent to use USOE Prototype Forms and Policies		Submit Custom Application Form for Pre-Approval by USOE	Eligibility Collection Policy Point of Service Method Selected		
5	I/D Completes and Submits Request for Advance Funding			Payment Type (Admin and or Operational) Payment Date (select from list)	Restrictions apply to advance requests for several specific days.	Return to Update Institution Program Information - Line 2.

CNP Use Case - #8 Update Institution Information

Revised 9/15/2004

Alternate Path 5:		Update CACFP-FDCH Information	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Updates "Institution" (Sponsor) Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Address Institution Type Federal ID / W-9 Dept. of Commerce Entity # CACFP Participation Background		
2	I/D Updates Provider Information	System validates information as it is entered.	I/D Adds a New Provider I/D Removes a Provider (changes status, does not delete)	Sponsor Agreement Number Sponsor Agreement Date Transfer From Sponsor Transfer Date Provider Last Name, First Name Provider DOB Provider Address Provider Zone (must be entered by Program Lead) Provider phone Provider License Type (must submit copy) Provider License Expiration Date Tier Provider's Own Children Included? Y/N All information, except Agreement # and Date, may be updated.	An FDCH Sponsor must be accepted into the program before they can add provider sites.	Return to Update Institution Program Information - Line 2.

Alternate Path 6:		Update TEFAP Information	Reference			
No.	Event	Response	Alt Flow	Data Points	Business Rule / Lookups	Return to line No.
1	I/D Updates Institution Information	System validates information as it is entered.		Except for the following, all institution-level application information may be Edited: Institution Name Institution Type Institution Mailing Address Institution Street Address Institution Director Name Institution Status (public,priv non-proof, gov't)		

CNP Use Case - #9 Establish Food Preferences

Revised 9/15/2004

Use Case Name:		#9 - Establish Food Preferences				
	Primary Actors:	FDP Technician Institution Director				
	Secondary Actors:	ECOS (Electronic Commodity Ordering System)				
	Tertiary Actors:	N/A				
	Goal:	Identify the types and quantities of commodities that institutions would like to receive during the year.				
	Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. The institution has been accepted as a participant in one of the food distribution programs.				
	Assumptions:	None				
	Constraints:	For some of the steps in the Primary Path, a system interface is required into ECOS.				
Primary Path:		Establish Food Preferences				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	FDP Tech Creates New Commodity	System facilitates entry of information.	System downloads new commodity from ECOS System downloads updated commodity from ECOS	Commodity Code Commodity Group FNS USDA Name Commodity Name Cost/Lb Case Value Truck Load Gross Case Weight Food Type Food Group Category Packaging Recipient Type End Product? Is Processed? Bonus vs. Entitlement Processor ID Food Year	Food Group = fruit, vegetable, poultry, beef, pork, Eggs, oils, cheese, floor, grains, Category = B, Fruit, Vegetable, Meat Food Type = Dried, Frozen, Fresh Packaging = boxed, tubs, bags Recipient Type = Household or Institutional or both Food Year = single alpha	
2	FDP Tech Updates Commodity Information	System calculates and stores average price for a commodity.	System downloads updated commodity from ECOS	Same as Above Average Price		
3	FDP Tech Enters an Initial Meal Rate	System Calculates a Participants Planned Assistance Level (PAL)		Meal Rate PAL	PAL = Meal Rate * Lunches Served the Previous Year (July-June)	
4	FDP Tech Enters an Adjusted Meal Rate	System updates participants' PAL		Adjusted Meal Rate Adjusted PAL		
5	System modifies PAL using an adjusted rate.					

CNP Use Case - #9 Establish Food Preferences

Revised 9/15/2004

6	FDP Tech (TEFAP) Allocates Percentage of an order truck of commodities to Food Banks and Soup Kitchens.	System calculates "Fair Share" of each bank under the Utah Food Bank	FDP Tech (TEFAP) modifies an institution's allocation	Total TEFAP Entitlement from USDA Soup Kitchens' & Food Banks' Total Meals Served Last Qtr.		
7	Institution Director Completes Annual Preference Survey (Online)	System produces customized survey based on the institution's PAL and the commodities in the database. Also shows prior year's commodities received. System calculates and displays cumulative totals by commodity type as requested amounts are entered (dashboard info). System displays commodity specifications if selected by user.	FDP Tech prints institution's survey, then enters results into the system. FDP Tech sends a spreadsheet to participant, then enters results into the system. Participant acknowledges/approves if requested commodities are under PAL.	PAL Requested DOD \$ Requested Cases of each A or B food Requested Lbs of each Processed Food Desired delivery period (months, Qtrs.) & amounts for each A & B commodity	Includes all commodities in the database Should show last year's requested and received amounts. Default this year's requested amount to zero Different surveys for FDP vs. TEFAP	Do survey by sections (DOD, A, B, Produce) TEFAP by Qtrs. FDP by Aug, Oct, Jan, Mar. Commodity specifications should be accessed via a hot-link to the USDA website.
8	FDP Tech Enters a Mid-Year Offering of a New Product	System produces a customized mid-year survey for the new product showing the institution's "Fair Share" of the offering based on the institution's % of Total Lunches.		Institution's Total Lunches Overall Total Lunches		Potential to add differing rates for breakfast, snacks, and supper, by month.
9	FDP Tech removes a commodity from the system that has been removed from the USDA list	System inactivates the commodity.		Commodity Status Commodity Status Date		

CNP Use Case - #10 Distribute Food

Revised 9/15/2004

Use Case Name:	#10 - Distribute Food
Primary Actors:	FDP Technician Institution Director School District Warehouse
Secondary Actors:	ECOS
Tertiary Actors:	N/A
Goal:	Order and Distribute Commodities
Pre-Conditions:	System users have successfully logged in to the system and have the necessary rights. Food preferences have been established.
Assumptions:	None
Constraints:	For some of the steps in the Primary Path, a system interface is required into ECOS.

Primary Path:		Distribute Food	Reference			
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	System Receives Round Survey From ECOS	System Compares Preferences to Round Survey	FDP Tech Enters Round Survey	Survey ID Commodity Code Ranges of Available Delivery Dates		
2	FDP Tech Allocates Product Amongst Recipients		FDP Tech Modifies Allocations		As a percent of total meals, (Fair Share)	
3	FDP Tech Creates Requisitions		FDP Tech Splits Shipment between in-State Locations FDP Tech Splits Shipment with another State	Commodity Code Quantity Delivery Date Entity # Comments		Per Drop
4	System Transmits Requisition Information to ECOS		FDP Tech Enters Requisition Information into ECOS			
5	Receive Delivery Order (DO) Numbers and DO Associations from ECOS		FDP Tech Enters DO Numbers and DO Associations from ECOS into the System	DO# DO Association		
6	Get Updated Information from ECOS	System Updates information in CNP Database		Dates Values Qty Codes		
7	Entity (School District or Warehouse) Enters Confirmation of Commodities Delivery	System Tracks Inventory Levels at Warehouse, and Values at School Districts	FDP Tech Enters Confirmation of Commodities Delivery	Date of Delivery # of Units		Case Weights Vary, (Roasts - Meats)
8	FDP Tech Enters Soup Kitchen Monthly Inventories		FDP Tech Adjusts Inventory Levels	Current Inventory		
9	FDP Tech Reconciles Commodity Inventory Reports		FDP Tech Adjusts System Inventory			

CNP Use Case - #10 Distribute Food

Revised 9/15/2004

10	FDP Tech Issues Warehouse Release		System Electronically Transfers Release to Warehouse	Code Institution Qty Shipping Lane Warehouse #	System tracks 6 month inventory rules	
11	Institution Director Modifies Warehouse Release		FDP Tech Modifies Warehouse Release			
12	FDP Tech Enters Confirmation of Commodities Delivery from Bill of Lading	System Tracks PAL Buy-Down for CNP. System Generates Freight invoice.	FDP Tech Modifies Confirmation of Commodities Delivery. System Generates Invoice for Exceptions.	Qty Received Date Exception Flag	non-public schools pay a per-case freight rate	Invoice generation may be addressed in Resolve Corrective Action

CNP Use Case - #11 Produce a Report

Revised 9/15/2004

Use Case Name:		#11 - Produce a Report				
Primary Actors:		CNP User Clock System Administrator				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Run a predefined Report				
Pre-Conditions:		User is logged in and has the necessary rights.				
Assumptions:		None				
Constraints:		Reports layouts have already been created. Data that a user cannot view in the system should also not be viewable on a report.				
Primary Path:		Produce a Report				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	User Selects a Report to Run	System prompts for the report parameters corresponding to the selected report. System generates the report.	User selects multiple reports to run at one time. User selects a pre-selected group of reports to run. User selects a future date/time to run a report, set, or group. User schedules a report, set, or group to run on a repeating schedule. System displays appropriate error message to Web users if database is not available.	Detail Level (summary, detail, mailing labels) Date Range Output Destination (screen, file, printer, email, Web) Output File Type (PDF, Word, Excel, TXT, XML, HTML) As-Of Date (point-in-time reports could also be accomplished using periodic data snapshot as alternate data sources.) Various attributes of the data being reported on.	All data access rules/restrictions must still be enforced when generating reports. Must be able to run reports "as of" a specified date. Parameter evaluation options must include: single selection, multiple selection, range, simple calculations, wildcard characters (*, ?) Must be able to exclude selected data fields from the output of a given run of a report (fields that would normally print on that report).	Some report parameters will be optional
2	Clock Runs a Report		Clock runs a set of reports.		Certain reports are to be run on a specified date, or at a specified number of days relative to an event.	
3	System Administrator Adds a new Report	System makes new report available on standard report menu.				This is to facilitate the conversion of an ad-hoc report into the list of standard reports.

CNP Use Case - #12 Produce an Ad-Hoc Report

Revised 9/15/2004

Use Case Name:		#12 - Produce an Ad-Hoc Report				
Primary Actors:		CNP User Clock				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Define and Produce an Ad-Hoc Report				
Pre-Conditions:		User is logged in and has the necessary rights to access the desired data.				
Assumptions:		None				
Constraints:		Data that a user cannot view through the application interface should also not be viewable on a report. This is a reporting tool ONLY, no updates allowed.				
Primary Path:		Produce an Ad-Hoc Report		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	User Defines a Report	Using a user-friendly wizard, the query tool walks the user through the process of defining a new report.	User edits an existing report to create a new one. The report definition may be saved after it is created. Confirm the overwrite of an existing report definition.	Report Name Report Owner Creation Date Description Report Definition includes: Data source (database and tables) Data Fields Calculated Fields (subtotals, totals) Sort Order (multiple levels of sort) Selection Parameters Section breaks Subtotals Totals Basic Statistical Calculations	All data access rules Must still be enforced when defining reports. Parameter evaluation options must include: single selection, multiple selection, range, simple calculations, wildcard characters (*, ?), >, <, Includes, Boolean Logic Functions (And, Or, Not, Xor)	
2	Using the query tool, the user adds formatting to the report output.	System saves formatting with report definition.	The query tool uses pre-created report formats to assist the user in defining the report formatting.	Header Footer Notes Date Page Number		
3	User Enters Runtime Parameters and Executes a Report	System prompts for the report selection criteria corresponding to the selected report. System generates the report.	User selects multiple reports to run at one time. User selects a pre-selected group of reports to run. User selects a future date/time to run a report, set, or group. User schedules a report, set, or group to run on a repeating schedule.	Detail Level (summary or detail) Output Destination (screen, file, printer, email, Web) Output File Type (PDF, Word, Excel, TXT, XML, HTML) Print Report Parameters & Description on Output Y/N?	All data access rules must still be enforced when generating reports.	

CNP Use Case - #13 Maintain Program Information

Revised 9/15/2004

Use Case Name:		#13 - Maintain Program Information				
Primary Actors:		User (CNP Database Maintenance Lead, Program Lead, CNP Financial Researcher)				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Maintain Program Parameters and Information				
Pre-Conditions:		System users have successfully logged in to the system and have the necessary rights.				
Assumptions:		None				
Constraints:		None				
Primary Path:		Maintain Program Information				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	User Maintains Single-Value Parameters	System facilitates entry of information.	Add New Entry Delete Entry	Parameter Name Description Value Effective Date Expiration Date	Assigned Federal Rate for Milk Max Percent on 2nd Meals Administrative Funds Allocation Liquor Tax Allocation	
2	User Maintains Multi-Value Lookup Table Entries.	System facilitates entry of information.	Add New Entry Delete Entry Add/Remove Table	Lookup Table Name For each entry in the table: Value Description Default Y/N Effective Date Expiration Date Other Associated Information	See List of lookup tables on "Bus. Rules - Lookups" Worksheet	
3	User Maintains Multi-Key Lookup Table Entries.	System facilitates entry of information.	Add New Entry Delete Entry Add/Remove Table	Parameter Table Name Key-1..Key-n Value Description Default Y/N Effective Date Expiration Date Other Associated Information	All Federal Meal Rate tables State Specific Meal Rate Tables Review Types by Program Program Review Cycles Program Required Events SMI Standards Reimbursement rates change at least once a year.	
4	User Maintains Yes/No Question List	System facilitates entry of information.	Add New Question Delete Question	Question Name Question Note about Question	Yes/No/NA Question Definitions	
5	User Maintains Form Letters	System facilitates the placement of database field placeholders within the letter. Ability to edit after mail merge.	Add a New Letter Delete a Letter	Letter Name File name of letter text.		
6	User Maintains list of disqualified individuals and institutions	System facilitates entry of information.	Add a New Entry Delete an Entry	Name Entity Type Date of Disqualification SSN or FIN Date of Birth		

CNP Use Case - #13 Maintain Program Information

Revised 9/15/2004

7	User Adds a New Nutrition Program	System facilitates the entry of all required program information.	Inactivate an Existing Nutrition Program Create New Application Form Create New Claim Form Create New Review Form	Program ID Program Name Allowable Institution Types Associated Rate Tables Associated Review Types Review Schedule Requirements		
8	User Maintains List of Fields to be tracked in an Audit Trail	System facilitates the entry of all required information.	Add a New Field to Track Remove a Field from the List	Table Name Field Name Effective Date Note		

CNP Use Case - #14 Maintain System Information

Revised 9/15/2004

Use Case Name:		#14 - Maintain System Information				
Primary Actors:		Information Systems Lead				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Maintain Security and other System Information				
Pre-Conditions:		IS Lead has successfully logged in to the system and the network and has the necessary rights, including NT domain administration.				
Assumptions:		None				
Constraints:		Internal users must be set up in the USOE Active Directory Domain. Only internal users will be authenticated through NT Login.				
Primary Path:		Maintain System Information		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	IS Lead Creates New Security Group	System facilitates the identification of a new group and the assignment of rights to that group.	IS Lead deletes a security group. IS Lead modifies an existing security group.	Security Group Name Security Group Description Security Group Rights	Data and application access rights may be assigned to a group. Application rights for a group or a user may be assigned at a screen level and at the field level.	Not mandatory at the field level.
2	IS Lead Creates New User ID	System facilitates the entry of all required information.	IS Lead Deletes User ID IS Lead Inactivates User ID IS Lead Changes Password	User ID Account Status	Internal Users are assigned to security groups and are authenticated through NT Login. External users are authenticated through the application security module, but receive default rights through a common NT user.	The data filters built into application screens will limit the information that can be accessed by a given institution or site. (i.e., limiting an institution to only have access to its own sites.)
3	IS Lead Assigns User to Security Group	System facilitates the addition of a user to a security group.	IS Lead Removes User from Security Group	User ID Assigned Security Groups	Users are assigned to or removed from groups in order to grant and revoke rights.	
4	IS Lead Maintains Table-Driven System Parameters	System facilitates the entry of all required information.	Add a New Field to Track Remove a Field from the List	Table Name Field Name Effective Date Note	Report Output Destinations Report Output File Types	

CNP Use Case - #15 Enter/Exit System

Revised 9/15/2004

Use Case Name:		#15 - Enter/Exit System				
Primary Actors:		CNP User				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Gain Access to the CNP System or exit the system and log out.				
Pre-Conditions:		USOE employee is logged in to NT.				
Assumptions:		All users have been set up in the system with an ID and password.				
Constraints:		None				
Primary Path 1:		Enter System		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	CNP User Enters Secure Portion of Site/Application	System authenticates CNP user against NT Login without requiring re-entry of ID and password.	System prompts unidentifiable user for ID and password Invalid Login Attempted	User ID Password	Screen-level security by user group.	Security should be based at the SQL database level to ensure that user-group access rights apply to any application used to access the data.
Primary Path 2:		Exit System		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	CNP User Exits Secure Portion of Site/Application	System resets all system permissions to pre-login status.	Check for unsaved work before exiting			

CNP Use Case - #16 Create Audit Trail

Revised 9/15/2004

Use Case Name:		#16 - Create Audit Trail				
Primary Actors:		CNP User				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Keep a record of certain changes that are made in the database.				
Pre-Conditions:		None				
Assumptions:		"Auditable" data elements have been identified				
Constraints:		This is a system-level function and is operative any time changes are made to data.				
Primary Path: Audit		Create Audit Trail		Reference		
No.	Event	Response	Alt / Exception Flow	Data Points	Business Rule / Lookups	Notes
1	CNP User Makes an Auditable Data Change	System creates an Audit Trail record.		Date/Time Stamp User ID Event Type Historical Value Reason for Change(Select) Explanatory Note	Must have audit trail created for any change to an institution's status or program information.	

CNP Use Case - #17 Maintain Database

Revised 9/15/2004

Use Case Name:		#17 - Maintain Database				
Primary Actors:		Clock System Administrator				
Secondary Actors:		N/A				
Tertiary Actors:		N/A				
Goal:		Backup, Restore, or Purge Data				
Pre-Conditions:		User requesting the data purge is authorized to do so.				
Assumptions:		The implemented architecture supports the business requirements.				
Constraints:		None				
Primary Path 1:		Create Data Backup				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	Clock Initiates Database Backup	System creates a full backup of the entire database.			Full backups are required weekly. Daily backups are to include all deltas since the last full backup. Transaction logs are required in order to restore all transactions since the last daily backup. Lost application or claim data is not acceptable.	Hot Web Server and Hot Data Base Server. It is anticipated that the USOE IT department will administer the backups for this system using the same tools used for other systems that they administer.
2	CNP User Submits a Transaction	System creates an incremental backup (transaction log).			Must be able to recover from an outage without manually re-entering transactions.	
Primary Path 2:		Restore Data Backup				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	System Administrator Initiates Database Recovery Operation	System automatically restores the database backup and applies the appropriate incremental backups to bring the system up to date with the last transactions that were completed.				
Primary Path 3:		Purge Data				
No.	Event	Response	Alt / Exception Flow	Reference Data Points	Business Rule / Lookups	Notes
1	System Administrator Initiates Data Purge	System prompts for, and confirms, the type of purge to take place.				
2	System Administrator Confirms Purge to Take Place	System removes the appropriate data from the database.			Federal guidelines require that disqualification information be kept for 7 years, and all other information be kept for the current year plus 3 years of history. While the details of reviews will be purged at the standard time, the review history file should not be purged.	Verify keeping the review history.

Appendix C – CNP Reports

#	Prog.	Report	Frequency	Recipient	Notes
1	All	Location Report	As Needed	Internal	select and sort by specialist, sponsor, or zip
2	All	Directory or Listing of Program Participants (Summary and Detail)	As Needed	Internal/ External	with or without sites, contact info, etc.
3	All	Mailing Labels - by Program, Institution, Site, Sponsors, Providers, etc.	As Needed	Internal	Labels as an output type of pretty much any list that can be generated.
4	All	Program Agreement	As Needed	Internal	Addressed with functional requirements in UC#2
5	All	Site Information Reports, i.e., NSLP Detailed Site Information (Schedule A)	As Needed	Internal	Addressed with functional requirements in UC#3
6	All	Various Ledger Reports/Statistics from Claims Information		Internal	
7	All	Serious Deficiency / Appeal / Termination - Report of events, to show compliance with regulations	Monthly	Internal	CACCI, FDCH = SD Process CACFP, NSLP = Appeals Process
8	CACCI	State Child-Care License Expiration Report	Monthly	Internal	to produce notification letters
9	CACCI	State Commerce License Expiration Report	Monthly	Internal	to produce notification letters
10	CACFP	Count Approved Sites by Sponsor (select profit status)			
11	CACFP	Verification Schedule (F/R participation changes)	Annual	Internal	4-year cycle
12	CACFP	FNS 44 - CACFP Participation/Meals Summary	Monthly	USDA	All Child Care
13	FDCH	Active FDCH Providers Ineligible to Claim	2x Month	Sponsor	
14	FDCH	FDCH Provider Listing and Active Providers Eligible to Claim	2x Month	Sponsor	
15	FDCH	FDCH Providers Eligible to Claim (Summary / Detail)	2x Month	Internal	
16	FDCH	FDCH Terminated and Disqualified Provider Listing	Monthly	All Sponsors	
17	FDCH	FDCH Duplicate Provider Report (compare on name, address, phone, provider #, DOB)	Monthly	FDCH Lead	
18	FDCH	FDCH Provider Listing- Select/Sort by Status (Active, Inactive, Withdrawn, Terminated), (by Zip, by SO, by Date)	Monthly	FDCH Lead	
19	FDCH	FDCH Provider Transfers by Date Range	Monthly	USDA	
20	FDCH	FDCH Providers Not Visited/Interviewed w/in Specified Date Range	Monthly	FDCH Lead	
21	FDCH	FDCH Reviews vs. Active Providers	Monthly	FDCH Lead	
22	FDCH	FDCH Summary of Drop-In Visits	Bi-Annual	FDCH Lead	Select by date range
23	FDCH	USDA Notification of Terminated/DQ'd Provider	w/in 10 days of termination	FDCH Lead	
24	FDP	Claim for Loss and Damage (Carrier, warehouse, vendor/processor, institution)	As Needed	Carrier, etc.	See UC #5-7, OS&D Notification
25	FDP	Commodity Book Inventory	As Needed	Internal	See UC#10-7,9
26	FDP	Commodity Delivery Notice	Monthly	Institutions	See UC#10-12
27	FDP	Commodity Requisition	As Needed	Internal	See UC#10-3,5
28	FDP	Delivery/Freight Invoice	Monthly	Institutions	

29	FDP	Deposit Report	As Needed	USOE Acctg.	See UC#10-12 Checks received to be deposited
30	FDP	Direct Delivery Report by SFA	Weekly	Institutions	See UC#10-7
31	FDP	DOD (Dept. of Defense) Verification Report showing monthly and YTD DOD monies spent by a given participant	Monthly	DOD Participant Institutions	See UC#10-12
32	FDP	Food Distribution School Request Survey	Annual	Institutions	Identified as an online function of FDP. See UC#9-7, Annual Survey
33	FDP	Notice of Allocations	Monthly	Institutions	See UC#10-2
34	FDP	Offer & Acceptance of Commodity (by SFA)	As Needed	Institutions	See UC#9-8 Midyear allocations
35	FDP	Processor Performance Report	Quarterly	Internal	See UC#10
36	FDP	Processor Performance Report	Annual	USDA	See UC#10
37	FDP	State Value Report	Annual (6/30)	USOE Acctg.	See UC#10 (\$ value of current inventory in warehouses)
38	FDP	USDA Commodities Year End Report	Annual	Institutions	See UC#10 (showing commodities received)
39	FDP	UW Batch Report	Monthly	UW (Carrier) & Warehouse	See UC#10 Showing how much frozen, dry, and chilled is ordered so the truckloads can be planned
40	FDP	Warehouse Commodity Delivery Summary	Weekly	Warehouse	See UC#10-7
41	FDP	Warehouse Release	Monthly	Institutions & Warehouse	See UC#10-10
42	FDP	Warrant Request for Freight Charges	2x Month	USOE Acctg.	See UC#10-13
43	FDP	Warrant Request for Warehouse Charges	Monthly as Needed	USOE Acctg.	See UC#10-14
44	FDP/TEFAP	FNS 155 - Inventory in Excess of 6-Month Supply	Semi-Annual, July & January	USDA	
45	FDP/TEFAP	Inventory Management Register	Semi-Annual	USDA	State inventory > 6 months Soup Kitchens & Food Banks
46	FDP/TEFAP	Month End Inventory Report	Monthly	Food Banks Soup Kitchens	Reports differ only by the commodities listed for different institution types. To be completed by Food Banks and Soup Kitchens
47	Finance	Claims processing report	Monthly	Internal	Sort and select bby program, by batch or date range
48	Finance	Delinquent Claims	Monthly	Internal	Sort and select by program, by recipient Select delinquency time period (current, 60-day, etc.) CACCI due on 6th Working Day of Month, all others on 5th working day of month.
47	Finance	NSLP Participation in Free/Reduced/Paid	Monthly	Internal	Select by time period and institution. Column for each month of the time period selected, with a cumulative total in the last column.
48	Finance	Revenue Source Used to Pay Claims	Monthly	Internal	Sort and select by program, batch, time period
49	Finance	Financial and Statistical Summary Report	Annual	USDA	
50	NSLP	NSLP Institution Participation in Free/Reduced/Paid	Monthly	Internal	Sort and select by time period by institution. Showing participation for each month of period selected, with a cumulative total at the end.

51	NSLP	Verification Report (F/R participation changes)	Annual	USDA	
52	NSLP	ASSP-NSLP Free/Application Report	As Needed	Internal	
53	NSLP	FNS 10 NSLP (SBP, ASSP-NSLP, SMP, SFSP Waiver) (Summary and Detail)	Monthly	USDA	All NSLP Programs
54	NSLP	October Free & Reduced Price Survey - Enrollment Information (Summary and Detail)	Annual	Web	
55	Reviews	Review History	Monthly	Internal	Sort and select by institution, by review type (unannounced, announced, # of sites, type of review, summary)
56	Reviews	Review Results Summary	Monthly	Internal	
57	Reviews	Review Schedule	Annual	Internal	5-year NSLP 3-Year CACFP
58	Reviews	Assigned Reviews (Summary and Detail)	As Needed	Internal	NSLP, SMI, CACCI, FDCH, Summer Should indicate review cycle (3 yr, 5 yr, etc.) Select and sort by review type, by program, specialist, or institution; Select by time period, review status
59	Reviews	CRE History Report	Annual	Internal	
60	Reviews	FNS-640 Report - Coordinated Review Effort (CRE) Data	Annual	USDA	One for Large SFA's, one for Small SFA's.
61	Reviews	Outstanding Corrective Actions	Monthly	Internal	
62	Reviews	Review Findings	Monthly	Internal/ Sponsor	Select by program, institution, specialist, or sponsor FDCH findings for providers are sent to the sponsor.
63	Reviews	SMI Report			School Meals Initiative
64	Reviews	SMI Standards	Annual	Internal	Printout of USDA Standards
65	SBP	Justification for Severe Need Breakfast (Annual Financial Report)	Annual		Receive from Institutions
66	SBP	Lunch Participation for Severe Need Breakfast	Annual		
67	SFSP	Meal Service by Site	As Needed	Outside Agencies	
68	SFSP	FNS 418 - Summer Food Service Program	Monthly	USDA	All Summer Food
		Out of Scope Reports			
101	All	Summary of Complaints by status, date range, etc.	As Needed	Internal	
102	Finance	FNS 269		USDA	
103	FDP	FDP Commodity Acceptability Process Reports (Detail & Summary)	Every 2 Years	USDA	USOE gathers data from institutions and summarizes for USDA. See UC#10

Appendix D

Non-Functional Requirements

Technical Architecture:

Following are the architectural specifications required in order to meet USOE's standards. Any proposed systems that are not able to function properly with the products or platforms shown each exception must be noted and the system's requirements in that area described, as well as what, if anything, could be done to the system to make it work within USOE's requirements, and the estimated cost to make the necessary changes. The hardware environment has not been specified here because it is expected that if a proposed vendor's system will run with the specified software components that it will also run on the USOE supported hardware on which those components are to be installed. If the proposed vendor's product requires a specific hardware environment, that environment must be described in detail.

Where given, version number specifies the minimal acceptable version of a product.

Product	Specification
Database	MS SQL Server 2000 (w/open access), Sybase v12
Application Development Tool	MS .net v1, C++, MS Visual Basic v6, MS Access 2002
Web Server	MS IIS v5 or above
Application Server	MS IIS v5, Sybase EA Server v4, MS .Net v1 or above
Desktop	MS Windows XP
Firewall	Cisco PIX v7
Directory	MS Active Directory
email	Novell GroupWise 6.5
Query/Report Tool	Cognos Series 7, MS SQL Server 2000
Browser	MS Internet Explorer 6.0
Backup Software	N/A – will be supplied and maintained by the USOE IT department
Hardware	N/A – will be supplied and maintained by the USOE IT department

User Interfaces:

User Type	Requirements
External	Because portions of the application must be made available to system users external to CNP, the system must provide a browser-based interface for these users to access the system over the Internet. This includes an interface to produce any standard reports that are made available for external users.
Internal	The interface for users internal to CNP may be either browser-based or client-based. This includes access to generate standard reports and ad-hoc reports. (These may be separate interfaces.)
System Administrator	While it may be possible for the system administrator interface to be browser-based, it is anticipated that this will be a client-based interface.

System Interfaces:

Any proposed system must support the following interfaces with other systems:

USOE Budget & Accounting System (BASE)	<p>Description: Interface with the USOE accounting system, BASE. (BASE in turn communicates with the state finance system, FI-NET.)</p> <p>Information Transferred: Payment Requests to BASE; Payment confirmation from BASE</p> <p>Data Format: SQL database, batch oriented</p> <p>Transfer Direction: Both directions</p> <p>Transfer Frequency: Nightly as needed</p> <p>Attended or Automated: Payment requests would be automated upon user approval of payment documents. Receipt of payment confirmation is unknown at this time.</p> <p>Other Information: BASE system is a PowerBuilder/Sybase application. A system-to-system interface with BASE does not currently exist.</p>
USOE Data Clearinghouse	<p>Description: Interface to gather Free & Reduced Price Report information that is currently gathered using the October Survey.</p> <p>Information Transferred: For each school: Total enrollment, Number Eligible for Free meals by school grade, Number Eligible for Reduced meals by school grade. Depending on the interface method (view vs. data transfer) the system may need to transfer student-level information (meal eligibility, resident status, application #, student ID) and derive the needed information from what is transferred. If a database view is established with the Clearinghouse, it's possible to calculate the needed information without transferring all of the student-level information into the CNP database.</p> <p>Data Format: SQL database, batch oriented</p> <p>Transfer Direction: From Clearinghouse to CNP</p> <p>Transfer Frequency: Annual</p> <p>Attended or Automated: Transfer upon CNP user request.</p> <p>Other Information: This transfer would be done around mid-November after USOE indicates that the information has been successfully gathered from the submitters. This interface does not currently exist.</p>
Electronic Commodity Ordering System (ECOS)	<p>Description: USDA system to support the Food Distribution Program</p> <p>Information Transferred: Round Surveys, Food Orders, Recipient Agencies</p> <p>Data Format: ECOS defined format</p> <p>Transfer Direction: import/export</p> <p>Transfer Frequency: Mostly in the Spring, but also as needed</p> <p>Attended or Automated: Initiated by CNP user</p> <p>Other Information: This interface is not currently automated. Would like to implement the appropriate interfaces so that data is only entered one time.</p>
USDA State Connectivity Data Exchange (SCDEX)	<p>Description: A USDA system provided to allow states to submit standard, monthly, Summary Reports of claim information to the USDA.</p> <p>Information Transferred: 30-day, 90-day, close out, and amended versions of the FNS 10, 44, & 418 reports</p> <p>Data Format: unknown – would be mandated by the USDA</p> <p>Transfer Direction: From CNP to USDA</p> <p>Transfer Frequency: Monthly</p> <p>Attended or Automated: Password-protected, user initiated</p> <p>Other Information: This is currently a manual re-entry of information into the SCDEX system. Would like it to be a transfer of a delimited data stream.</p>

Appendix E

Future Considerations

In addition to the functional and non-functional requirements, analysis has determined that the following business considerations will be important in the selection of a system. While no comprehensive requirements can be identified for these areas, the project manager should address each of these areas in detail in order to provide an adequate understanding of any “package” to be proposed.

Vendor Evaluation

Viability (D&B Rating, Funding, Profitability (5-years), Years in business, etc.)

What is the business outlook for the company?

Who are the major officers and what is their background?

How does the company compare with others in the industry (Industry analysts, journal write-ups, etc.)?

Can the vendor provide an implementation manager that will work onsite?

Documentation

What code-level documentation comes with the system?

What user-level documentation comes with the system?

Training

What user training comes with product purchase?

What administrative training comes with product purchase?

What other training is available for purchase?

Customer Support

What level of customer support comes with the product (Cost, Hours, # of Contacts)?

What other options are available for higher levels of support?

How are bug fixes addressed?

Product Maintenance

What is the software maintenance plan (Basis of fees; Coverage such as bug fixes, minor releases, major releases, and other coverage)?

Product Maintenance

What capabilities does the vendor have?

What is the availability of customization resources?

What is the associated cost?

Where is the work done? (If work is done at customer site, what additional costs are associated?)

**PROJECT MANAGEMENT AND CONSULTING SERVICES TO ACQUIRE AND/OR
DEVELOP AN INTEGRATED DATA PROCESSING SYSTEM
Solicitation # JG5013**

RFP EVALUATION SCORESHEET

Firm Name: _____.

Evaluator: _____.

Date: _____.

Score will be assigned as follows:

0 = Failure, no response

1 = Poor, inadequate, fails to meet requirement

2 = Fair, only partially responsive

3 = Average, meets minimum requirement

4 = Above average, exceeds minimum requirement

5 = Superior

		Score	Weight (0-5)	Points
1. Demonstrated Ability to meet scope of work (15 points possible)		----	----	----
The investigation of available systems, gap analysis, budget development, investment justification, and a recommendation for procurement of the most compatible system and/or a recommendation for development. Offerors should include a description of the proposed schedule, project control guidelines, resources and management team members, and a communication approach.	15 points possible		X 3	
Selection and procurement of a system; procurement of a vendor to conduct system modification and/or development, and testing. The contractor will be responsible to produce RFP documents and evaluation criteria.	15 points possible		X 3	
Training and pilot activities, implementation of the system, and establishment of system maintenance procedures.	15 points possible		X 3	
2. Demonstrated Technical Capability, Qualifications and Expertise of Staff, References (15 points possible)		----	----	----
Demonstrated technical capability, proven track record	10 points possible		X 2	
Qualifications and expertise of staff proposed for this project	5 points possible		X 1	
Performance references for similar projects	10 points possible		X 2	
5. Cost (30 points possible)	30 points possible			*
TOTAL EVALUATION POINTS	(100 points possible)		Total	

* Purchasing will use the following cost formula: The points assigned to each offerors cost proposal will be based on the lowest proposal price. The offeror with the lowest Proposed Price will receive 100% of the price points. All other offerors will receive a portion of the total cost points based on what percentage higher their Proposed Price is than the Lowest Proposed Price. An offeror whose Proposed Price is more than double (200%) the Lowest Proposed Price will receive no points. The formula to compute the points is: Cost Points x (2- Proposed Price/Lowest Proposed Price). Tie scores might occur.

Exhibit A

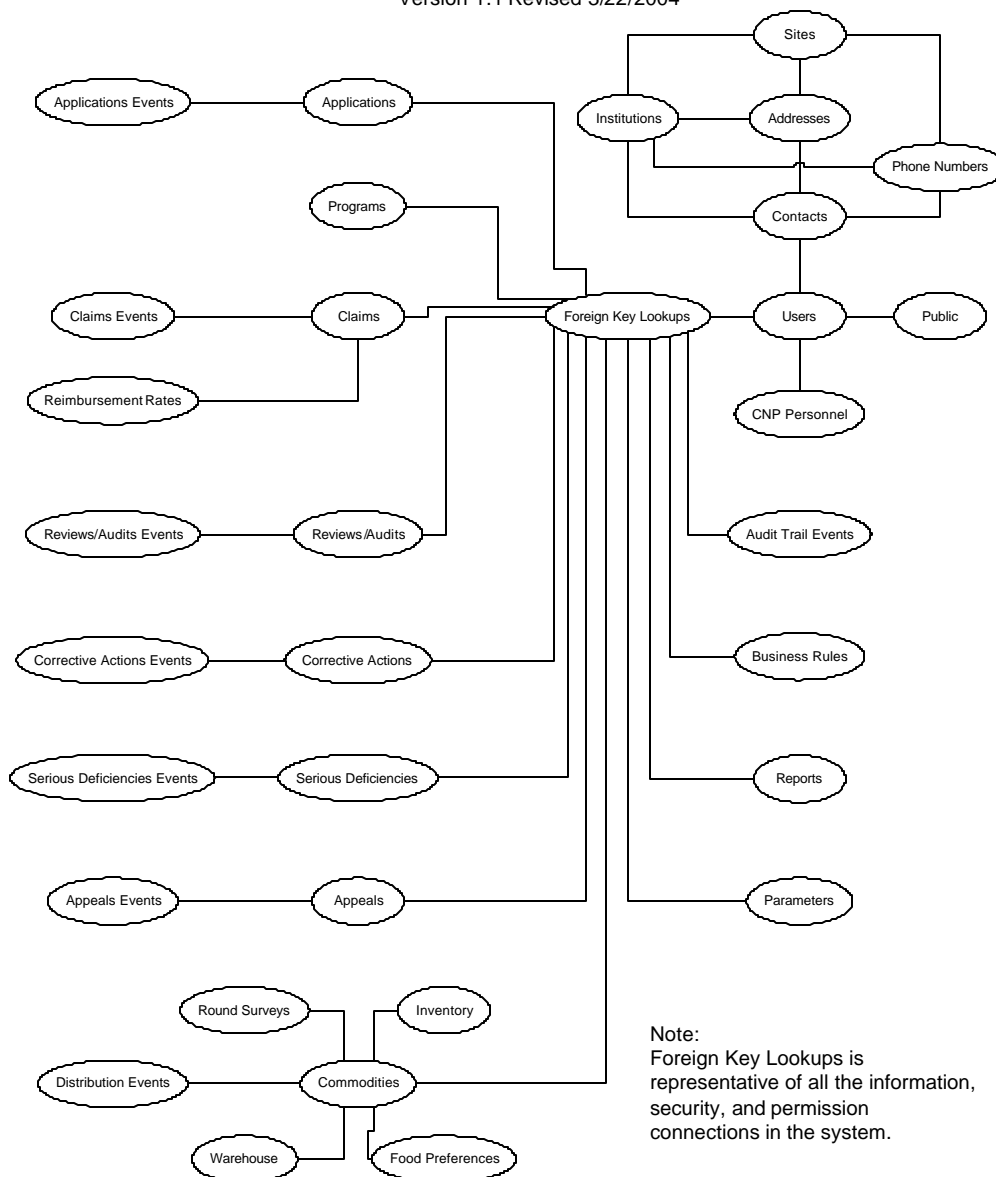
Database Design

Exhibit A is a high-level, logical representation of the elements anticipated to be involved to support the application. In many cases, the physical implementation of a given entity will require multiple physical tables. The intent of including this diagram is to illustrate the expectation that the supporting data structures be implemented in a normalized, relational database, similar to the one shown here. For proposed systems not using a similar implementation their database implementation must be described and why it is not similar to the one shown here must be explained.

High-Level, Logical Database Design

CNP NEW SYSTEM LOGICAL DATABASE DESIGN

Version 1.1 Revised 3/22/2004



Attachment A

DEBARMENT AND SUSPENSION CERTIFICATION U. S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants= responsibilities. The regulations were published as Part IV of the January 30 , 1989, Federal Register pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number _____

Printed Name of authorized representative

Title _____

Signature

Date _____

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this form, the prospective lower tier participant (one whose contract for goods or services exceeds the Federal procurement small purchase threshold fixed at \$100,000) is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms Acovered transaction,@ Adebarred,@ Asuspended,@ Aineligible,@ Alower tier covered transaction,@ Aparticipant,@ Aperson,@ Aprimary covered transaction,@ Aprincipal,@ Aproposal,@ and Avoluntarily excluded,@ as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled ACertification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion C Lower Tier Covered Transactions,@ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

CERTIFICATION REGARDING LOBBYING

INSTRUCTIONS: To be completed and submitted ANNUALLY (1) any child nutrition entity receiving Federal reimbursement in excess of \$100,000 per year and (2) potential or existing contractors/vendors as part of an original bid, contract renewal or extension when the contract exceeds \$100,000.

**Applicable to Grants, Subgrants, Cooperative Agreements, and Contracts
Exceeding \$100,000 in Federal Funds**

Submission of this certification is a prerequisite for making or entering into this transaction and is imposed by section 1352, Title 31, U.S. Code. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or any employee of a member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, A Disclosure Form to Report Lobbying, in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all covered subawards at all appropriate tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Name of Contractor receiving federal funds in Excess of \$100,000:		
Address of Contractor:		
Printed Name and Title of Submitting Official:	Signature:	Date:

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 USC 1352

(See reverse for public burden disclosure)

0348-0046

1. Type of Federal Action: a. Contract b. Grant c. Cooperative agreements d. Loan e. Loan guarantee f. Loan insurance	2. Status of Federal Action: a. Bid/offer/application b. Initial award c. Post-award	3. Report Type: a. Initial filing b. Material change FOR MATERIAL CHANGE ONLY: Year _____ Quarter _____
4. Name and Address of Reporting Entry: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known Congressional District, if known: _____		5. If Reporting Entry in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____
6. Federal Department/Agency:	7. Federal Program Name Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known:	
10a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):	10b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI):	
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	12. Type of Payment (check all that apply): <input type="checkbox"/> a. Retainer <input type="checkbox"/> b. One-time fee <input type="checkbox"/> c. Commission <input type="checkbox"/> d. Contingent fee <input type="checkbox"/> e. Deferred <input type="checkbox"/> f. Other, specify _____	
13. Form of Payment (check all that apply): <input type="checkbox"/> a. Cash <input type="checkbox"/> b. In-kind, specify: Nature _____ Value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted for payment indicated in No. 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> 16. Information required through this form is authorized by code 31 USC section 1352. This disclosure of lobbying activities is a material representation of fact upon which evidence was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 USC 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure. </div> <div style="width: 45%;"> Signature: Print Name: Title: Telephone No: (____) _____ Date: </div> </div>		

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31, USC section 1352. The filing of a form is required for each payment of agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer of employee of Congress, or an employee of a Member of Congress in connection with a covered Federal Action. Use the SF-LLL-A continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow -up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawarded recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include, but are not limited to, subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state, and zip code of the prime Federal recipient. Include congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter last name, first name, and middle initial.
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimates or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (03-48-0046), Washington, D.C. 20503.

COST PROPOSAL

Cost is to be submitted based on the following:

Project Phase	Hourly Rate	Hours Proposed	(Rate x Hours) Cost
Investigation of available systems, gap analysis, budget development, investment justification, recommendation for procurement of the most compatible system and/or a recommendation for development.	\$		\$
Selection and procurement of a system; produce RFP documents and evaluation criteria, procure a vendor to conduct system modification and/or development, and testing.	\$		\$
Training and pilot activities, implementation of the system, and establishment of system maintenance procedures.	\$		\$
TOTAL			\$